



LONDON THAMES GATEWAY SOCIAL INFRASTRUCTURE FRAMEWORK

A TOOLKIT TO GUIDE DECISION MAKING

JUNE 06

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1. Introduction

1.1. INTRODUCTION

1.1.1. In January 2005, the Office of the Deputy Prime Minister approved funding for the London Thames Gateway Social Infrastructure Framework (LTG-SIF) Project. The project was initiated in June 2004 by the two Strategic Health Authorities in East London together with the NHS London Healthy Urban Development Unit in response to the ongoing policy focus on residential and population growth across the London Thames Gateway and the associated need to ensure that social infrastructure was given appropriate priority as part of this process.

1.1.2. The key aim of the proposal was to place the provision of social infrastructure higher up the London Thames Gateway development agenda with the view to ensuring that healthy, successful and sustainable communities would be created, containing the correct scope and scale of necessary social infrastructure and ensuring that the necessary services and facilities were in place at the right time and in the right locations throughout the Gateway.

1.1.3. The scope of social infrastructure was viewed much wider than simply health services. This was in recognition that both community well-being and the wider determinants of health would require a wide range of services and facilities to be properly planned and incorporated in the growth plans. As such, the LTG-SIF addresses four broad social infrastructure 'sectors', namely:

- education (early years/childcare, primary, secondary, higher/further/adult),
- health and social care,
- recreation and leisure services, and
- emergency and essential services.

1.1.4. Whilst these four key sectors have been identified for the purposes of this study, it is recognised that there will be a far wider range of associated and complementary social and community based services and facilities that will also need appropriate planning and consideration. Whilst the scope of this Framework does not attempt to address services and facilities beyond the key sectors identified above, service planners and providers will also need to consider the potential to incorporate additional components as local circumstances may dictate.

1.1.5. A joint consultant team of EDAW and Bevan Brittan were appointed to take forward the project, overseen by a Project Management Group that includes representatives from the Office of the Deputy Prime Minister, Thames Gateway London Partnership, London Development Agency, Government Office for London, CABE, London Borough of Barking and Dagenham, London Borough of Tower Hamlets, North East London Strategic Health Authority, London Thames Gateway Development Corporation, and the NHS London Healthy Urban Development Unit (HUDU) . HUDU is providing the overall project management role.

1.2. OVERALL AIMS & OBJECTIVES OF THE FRAMEWORK

1.2.1. The key aim of the Framework is to identify and plan for the social infrastructure that would be required to support the London Thames Gateway development agenda to assist in the creation of healthy sustainable communities across the area.

1.2.2. The Framework has overall objectives to:

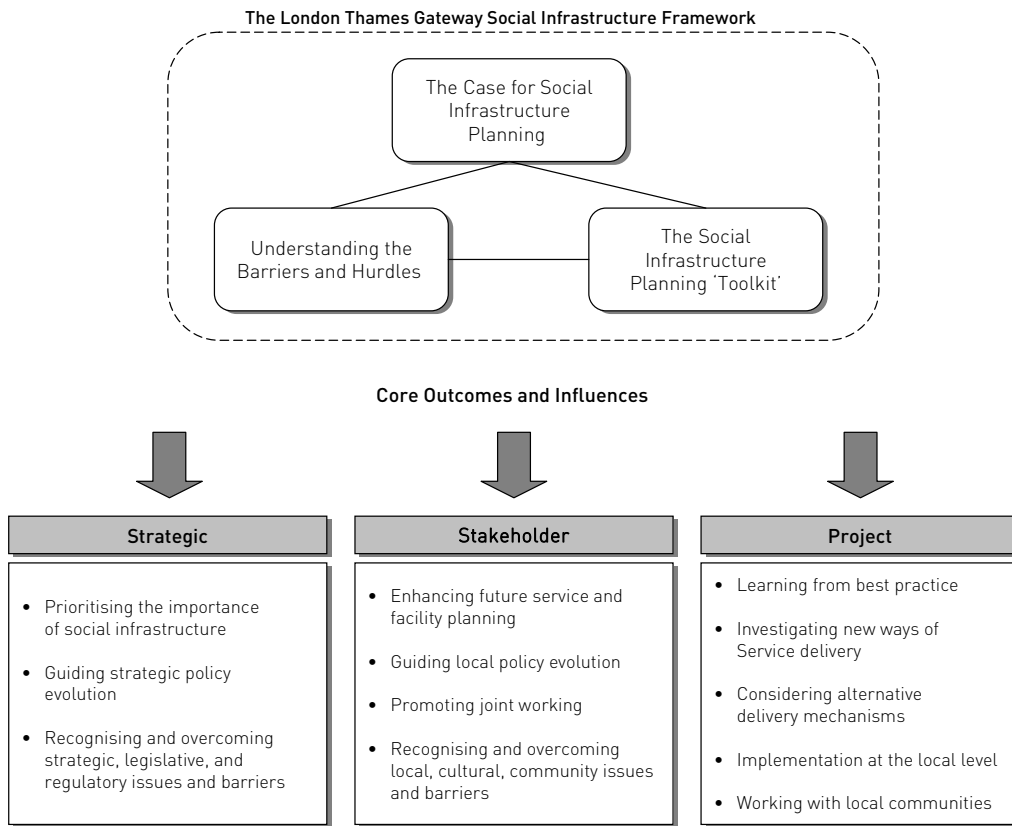
- Help underpin a crucial element in creating new sustainable communities in the London Thames Gateway.
- Promote the health and well-being of both new and existing populations across the London Thames Gateway.
- Enable service delivery agencies to better manage uncertainties in the development and forecasting process.

- Provide a mechanism that will identify the social infrastructure required alongside housing developments.
 - Provide opportunities (where appropriate) for the creation of joint delivery vehicles based on models of best practice, promote the efficient use of resources and provide opportunities for convenient co-location and integrated service delivery.
 - Permit the introduction of workforce and local economic development strategies alongside social infrastructure proposals.
 - Understand and lessen the barriers resulting from many delivery agencies having different institutional boundaries, funding regimes, planning catchments and conceptual frameworks.
- 1.2.3. The project provides the opportunity for stakeholders to identify and develop a series of best practice models for integrated social facilities delivery and operation. It builds upon current and emerging Government guidance, local experience, and successful models that have been developed nationally and internationally.
- 1.2.4. It is important to recognise at the outset that the London Thames Gateway area contains a wide diversity of communities, neighbourhoods and urban forms, ranging from the high density multi-ethnic character of Inner East London, through to the lower density suburban character of parts of Outer East London. It also spans a number of Local Authorities and as such a wide diversity of stakeholders are involved in local service planning and delivery at a local level. Given this geographic, socio-economic and administrative diversity, it is not the purpose of the Framework to impose a specific solution or 'one size fits all' approach across the entire Gateway. It does, however, in effect provide an evidence base and sets out a methodology that can be used by local stakeholders within a variety of different circumstances to assist in the local decision making process. Recognising the diversity, the Framework is intended to be flexible enough to respond to local conditions when being applied across specifically defined areas of the London Thames Gateway, defined as Local Social Infrastructure Frameworks (Local SIFs).

1.3. THE PROJECT OUTPUTS

- 1.3.1. The core output as anticipated in the original Project Brief was the development of a standard methodology that made clear reference to policy and best practice regarding local social infrastructure service delivery, and enabled informed decisions to be made through a review of service and facility supply and demand considerations.
- 1.3.2. Following initial stakeholder engagement in evolving the Framework, the LTG-SIF has moved forward to encompass three separate but interrelated components, namely:
- **Part 1: The Case for Social Infrastructure Planning.** This provides clear messages in relation to the importance of properly planning for and delivering social infrastructure across the London Thames Gateway. It also illustrates what can be achieved and how, reviewing key barriers and how they could be overcome;
 - **Part 2: A Toolkit to Guide Decision Making at the Local Level.** This document provides more detail relating to relevant background information together with an analysis of alternative approaches to mapping and forecasting future need to aid planning for new social infrastructure across the London Thames Gateway. As part of this toolkit, an electronic Social Infrastructure Planning Model has also been created that can assist to assess the population impacts of new housing proposals across individual parts of the London Thames Gateway.
 - **Part 3: Barriers & Hurdles.** This presents a review of the key issues, barriers and hurdles that are currently influencing the delivery of social infrastructure across the London Thames Gateway.
- 1.3.3. The Framework will guide and inform the planning and delivery of social infrastructure at a 'strategic', local 'stakeholder' and project specific level, as illustrated in Figure 1.1.

Figure 1.1: Framework Structure



1.3.4. The London Thames Gateway Social Infrastructure Framework seeks to establish the process for more effective delivery of social infrastructure alongside physical infrastructure. It identifies a “delivery chain” requiring action at the national, Thames Gateway, local stakeholder and project specific levels and how the momentum should be taken forward to deliver real benefits on the ground.

1.3.5. The Framework contains a number of ‘tools’ that have been evolved to aid the social infrastructure planning and forecasting process based upon a review of current practices and established standards. It is important to note however that these tools have been brought together to guide but not direct stakeholders in their approach to infrastructure planning and delivery. The intention is not to impose a rigid or mechanistic process that must be adopted, and as such stakeholders will need to retain flexibility in terms of the responses they adopt, in particular to consider the characteristics of individual local areas and circumstances.

1.3.6. The evolution of the Framework should be considered to be the first part of a process to achieving a step-change in the planning for and delivery of social infrastructure across the London Thames Gateway, a process that will require significant change across all levels.

1.4. **STRUCTURE OF THIS DOCUMENT**

1.4.1. This document contains a series of chapters together with supporting appendices covering the following elements:

- **Chapter 1. Introduction:** An introduction to the Framework and the role of this Toolkit;
- **Chapter 2. Guide to Using the Toolkit:** Providing an overview of how this Toolkit can be used, introducing the methodology (separated into a series of modules) through which the planning and delivery of social infrastructure at a local level should be considered;
- **Chapter 3. Toolkit Module 1: Understanding the Context:** This includes a review of the approach to understanding the baseline context (stakeholder policy and land use);

- **Chapter 4. Toolkit Module 2: Mapping Supply & Demand.** This includes a review of the approach to understanding the current location, capacity and accessibility of services and facilities to formulate a robust 'supply' side of the equation. Also assessing the 'demand' for services through alternative population forecasting processes that can be applied to residential growth projections;
- **Chapter 5. Toolkit Module 3: Evolving & Testing Solutions.** Reviewing who, when and how engagement should occur when planning for new social infrastructure services and facilities; evolving initial solutions and taking these forward;
- **Chapter 6. Toolkit Module 4: Identifying the Approach to Delivery.** Reviewing potential delivery mechanisms that can guide service and facility delivery;
- **Chapter 7. Taking forward the London Thames Gateway Social Infrastructure Framework.** Illustrating the approach to achieving the aspirations of the Framework, the full 'delivery chain' and next steps.

1.4.2. The main body of this 'Toolkit' document provides readers with enough information to be able to take forward the planning and delivery of social infrastructure services and facilities. Further information is contained in a series of appendices which provide more detail in relation to:

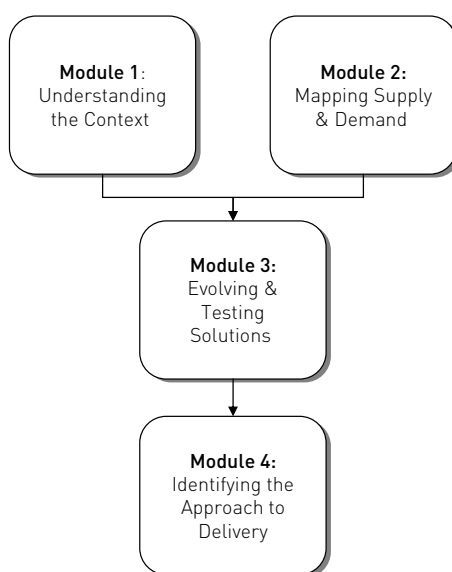
- **A1: Policy.** Current Government policy approaches and objectives influencing the provision of social infrastructure now and into the future across the London Thames Gateway;
- **A2: Workforce.** Understanding the relationship between social infrastructure, workforce and local economic development issues;
- **A3: Data Analysis.** Detailed methodology (data sources & the use of GIS), illustrating the issues and detailed approach in terms of mapping and analysing data;
- **A4: Engagement.** Presenting alternative approaches that can be taken to engage with local communities and stakeholder groups;
- **A5: Delivery Vehicles.** Providing more specific detail of alternative vehicles, their basic structures, advantages and disadvantages; and
- **A6: Case Studies.** Illustrating the lessons learned from a review of a select list of case studies, in particular in relation to service planning and delivery.

2. Guide to Using This Toolkit

2.1. INTRODUCTION

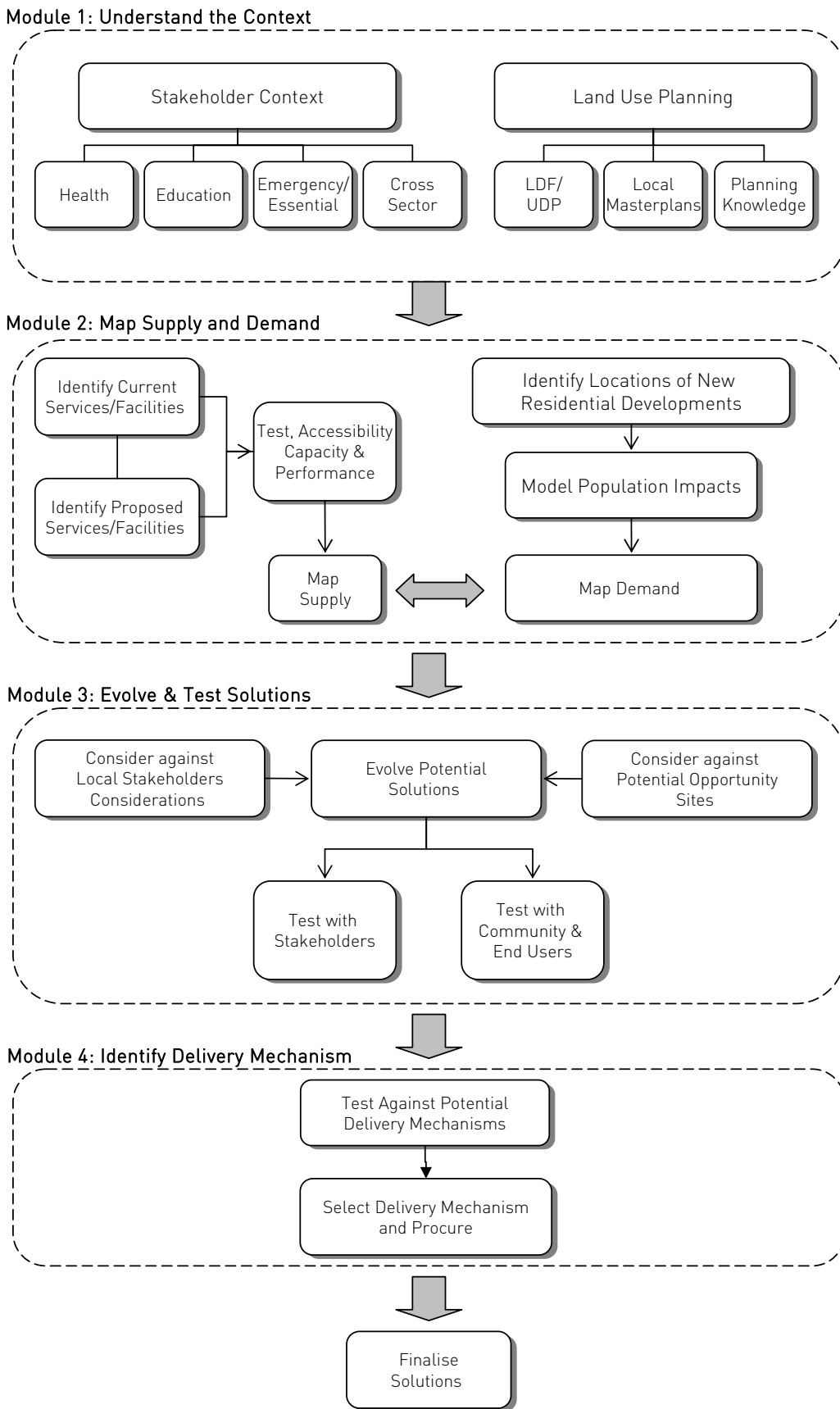
- 2.1.1. The Toolkit includes a body of evidence to guide the decision making process. It presents an approach to quantifying, mapping and assessing issues of the supply of and demand for social infrastructure, It moves forward to engaging with stakeholders and the local community, and considers issues relating to taking projects forward to delivery. The supporting appendices provide further information, in particular in relation to current and emerging policy and practice in the delivery of social infrastructure facilities, including a review of the scope of services delivered, approaches to delivery and any lessons learned.
- 2.1.2. The core component of this Framework is the development of a flexible methodology that can be adopted to assess social infrastructure needs and enable service providers to formulate appropriate responses across the London Thames Gateway. This methodology has been separated into four key modules as presented in Figure 2.1, and considered in more detail over the following Chapters of this document

Figure 2.1: The Modular Approach to Analysis



- 2.1.3. It is anticipated that the tools illustrated within this document will be used by a range of different stakeholders at various levels in the process of planning for social infrastructure. One of the key aims is to enable stakeholders to work from a common set of parameters and principles to ensure that services can be delivered in a coordinated and consistent manner. Having said this, the methodology, processes and calculations based upon current building and service standards are not intended to impose rigid solutions, as these will need to reflect local circumstances and considerations. Indeed, it is anticipated that in many cases the final solutions will move beyond current thinking to introduce new best practice standards in service delivery.
- 2.1.4. Implementation of the Framework will be achieved in part through taking forward the methodology across specific localities within the London Thames Gateway, particularly those that have been identified to accommodate significant population change as part of the Sustainable Communities Plan. The intention is that this implementation at a local level would generate "Local Social Infrastructure Frameworks" (Local SIFs) that would assist to clarify the scope and scale of social infrastructure requirements across specific geographic areas of study.
- 2.1.5. The various components of each module are illustrated in more detail in Figure 2.2, overleaf.

Figure 2.2: The Modular Approach to Analysis



3. Toolkit Module 1: Baseline Assessment

3.1. INTRODUCTION

3.1.1. At the outset of the process it will be important to understand the full policy context that guides the delivery of social infrastructure services and facilities at a local level. The baseline assessment stage will be crucial to ground the evolution of solutions.

3.1.2. The key outcomes from Module 1 are illustrated in Figure 3.1 below.

Figure 3.1: Module 1 Outcomes

- Understand the local stakeholder policy context;
- Understand the local land use planning context.

3.2. UNDERSTANDING THE LOCAL STAKEHOLDER POLICY CONTEXT

3.2.1. There will be a considerable body of evidence available at the local level that will need to be comprehensively reviewed and considered as part of the Local SIF process.

3.2.2. The exact scope of strategies that would need to be reviewed will differ between locations, but a core list of documents that will need to be considered include:

- **Cross Sector:** Community Plan, Neighbourhood Renewal Strategy, Local Planning documents;
- **Health:** The local Health Services Assessment (Local Blue Book), Health Improvement & Modernisation Plan, PCT Local Delivery Plan, HR/Workforce Strategy, Strategic Service Development Plan, Estates Strategy, and any other relevant plans/strategies prepared by the relevant PCTs/ LIFTCo;
- **Education:** School Organisation Plans, Education Development/Strategic Plan, Early Years development and Childcare Partnership strategy and any other relevant strategies produced by the LEA;
- **Open Space:** LB Open Space Strategy, East London Green Grid Framework;
- **Emergency/Essential Services:** Service delivery and estates strategies produced by the MPA, LAS and LFB.

3.2.3. The scope and status of available documents will vary from location to location across the London Thames Gateway and as such it will be necessary to undertake a thorough investigation at a local level through direct discussions with stakeholders to source the most up to date and relevant information.

3.2.4. The outcome of this stage will be to identify the current background context to, and status of social infrastructure service planning and delivery across the Local SIF area. It will also assist to evolve a full understanding of the status of planned investment across the social infrastructure estate, and reveal the extent to which individual stakeholders have begun to address future changes in both service delivery and local population growth and needs, as part of the London Thames Gateway growth agenda.

3.3. UNDERSTANDING THE LAND USE PLANNING CONTEXT

3.3.1. In order to establish the land use planning and development context it will be important to liaise with the relevant planning departments to fully understand the existing and future planning frameworks that would influence development across the Local SIF areas. This will need to include:

- The current adopted planning position, with specific reference to the allocation of residential and population growth and any associated safeguarded social/community infrastructure sites;

- The status and timetable of any emerging new statutory frameworks such as new Local Development Frameworks and Area Action Plans, and their likely implications on both population change and social/community infrastructure;
 - Local planning documents such as masterplans and/or site specific development briefs;
 - Other statutory or non-statutory planning documents of relevance, such as urban capacity studies (including the status of submissions that fed into the London Housing Capacity Study), S106 strategies, open space strategies, affordable housing strategies, etc;
 - Site specific development knowledge sourced through discussions with relevant local planning officers such as land ownerships, developer aspirations, planning histories, contamination, etc.
- 3.3.2. Of key importance in relation to assessing the demand implications of major new housing areas will be an understanding of the scale and nature of housing growth. This will require an understanding of the total quantum of residential units that are forecast, together with the breakdown by tenure (private, social rented and intermediate) and by number of bedrooms.
- 3.3.3. The core output from the land use planning review would be a detailed geographic understanding of the Local SIF area and the extent of land use opportunities that may already be in place to deliver new social infrastructure into the future.
- 3.3.4. The shortage of well-located accessible sites is probably the one 'given' across the London Thames Gateway. Integrated provision, or at very least, service collocation, is therefore likely to be essential if future human services are to be delivered in a cost-effective manner.

4. Toolkit Module 2: Mapping Supply & Demand

4.1. INTRODUCTION

- 4.1.1. A key part of planning and delivering social infrastructure is understanding and analysing data to build an 'evidence base' that can guide future decision making processes. It is this information gathering, mapping and subsequent analysis that can enable stakeholders to work together and make sense of an increasingly complex world, ensuring that sound and sustainable decisions can be made with a common understanding.
- 4.1.2. Social infrastructure has an explicit spatial implication, whether it be in terms of the physical location, or the surrounding demographic characteristics of the communities whose needs are being served. What is also explicit is the need to consider the social, economic, and environmental factors that will influence human behaviour. Due to this complexity in interrelated components and vast information requirements, there is a clear need to begin to use spatial databases and technologies to guide future planning.
- 4.1.3. This section provides the main stages in an overall analytical approach that can be applied consistently across the London Thames Gateway to help improve decision making when planning for future social infrastructure. In this respect it is recognised that individual stakeholders currently have their own processes in terms of service planning and it is the intention of this Toolkit to complement and enhance existing processes, and enable common approaches to come forward.
- 4.1.4. The steps below should be seen as a guide to enable consistency in approach, but not all the steps will be relevant, depending on particular workstreams and objectives, or how good the data is in the first place. Understanding the local policy context will also inform the most appropriate way forward in light of the local context.
- 4.1.5. The audience for this section is essentially the data analysts across the different agencies involved in service planning and delivery, and may include Geographic Information Systems (GIS) department personnel and census and research departments. The outputs would be used by decision makers at varying levels across departments and agencies.
- 4.1.6. The key outcomes from Module 2 are illustrated in Figure 4.1 below.

Figure 4.1: Module 2 Outcomes

- Obtain and Analyse Relevant Data;
- Forecast future demand for social infrastructure services and facilities;
- Use GIS to manipulate and present outputs in a spatial form.

Limitations to the Analysis

- 4.1.7. Before considering an appropriate approach further, it is important to recognise that although many of the local authorities across the area have invested in GIS systems and have started to build spatial relational databases, there are a number of barriers to carrying out a full and proper analysis
- 4.1.8. The Framework recommends that to help plan for social infrastructure across the London Thames Gateway in a consistent and coordinated manner these issues either need to be addressed in a holistic manner or acknowledged when undertaking Local SIFs across the London Thames Gateway. These issues are elaborated in appendix A3 and primarily relate to:
- Limited data availability;
 - Lack of descriptive information (metadata) accompanying the datasets;
 - Data access issues (including Data Protection Act and sensitive data, Intellectual Property Rights, Copyright);
 - Robustness of information already available in GIS format, such as accuracy, the extent of information held, and whether it is fit for purpose;

- Where information gaps exist, the resources required to research, collate and build usable databases for further analysis;
- Data standard inconsistencies – different classification systems, and different associated information;
- Software and file format inconsistencies – different GIS systems and data formats;
- Existence and usability of local authority web information portals.

4.1.9. To address these issues the LTG-SIF recommends that all partner organisation come together to:

- Set up an accessible central information portal or data clearing-house documenting what and where data is available.
- Have access to consistent analytical decision support tools and GIS systems for repetitive query tasks and functions and also have the skills necessary to organise, manage and interpret large spatial datasets. Arranging this data into an enterprise GIS system would enable simple, repetitive functions, queries and analysis process steps to be undertaken automatically, with all key decision makers having access to the same evidence base and outputs.
- Set up procedures for data flows and workstreams with data sharing agreements between the various delivery organisations or having research and central GIS data managers who can coordinate the analysis efforts and summarise results for decision makers to evaluate.

4.1.10. Ultimately, this would lead to improved, informed decision making, cost and time savings. However, although such an approach across the London Thames Gateway partners is recommended, in its current absence, the methodology for mapping and analysing data presented here considers that each Local Authority (or partnerships of adjacent authorities) will need to undertake its (their) own assessment and will be involved in sourcing data, or creating data for this purpose. It also assumes a certain level of in-house skill is available to manage the analysis within a GIS system.

4.2. FACILITY MAPPING AND ANALYSIS

4.2.1. There are three key stages of analysis that should be progressed:

- Stage 1: Identify services / facilities, collate, translate, clean and categorise data, filling in gaps as necessary and importing this into GIS;
- Stage 2: Analyse the information in accordance with current policy objectives, in terms of issues such as catchment and/or areas of influence. Output and graphically represent the information, including the location, capacity and accessibility of existing and proposed services;
- Stage 3: Forecasting future population growth based upon the most appropriate forecasting methodology available and translating the population growth into social infrastructure needs and considering how this relates to the underlying supply

4.2.2. Each of these stages are explained in more detail below.

4.3. STAGE 1 – IDENTIFYING SERVICES & FACILITIES

4.3.1. The first stage is to obtain a robust baseline set of information relating to the location and capacity of existing social infrastructure services across the Local SIF area.

4.3.2. Putting this information together would involve a series of steps to be undertaken, illustrated below and described in more detail as part of Appendix A3.

- Stage 1.1: Categorise main service types into logical group headings and sub headings to ensure consistency of terminology and groups at the outset;
- Stage 1.2: Contact the GIS department or main GIS officer at each Local Authority as first point of contact to check availability of geographic location data. At the same time obtain other standard characteristic data such as population, demographic and socio-economic data;

- Stage 1.3: Collate, translate, clean and merge the GIS information from the various Local Authorities;
- Stage 1.4 Identify any gaps in information and undertake additional searches, looking at key government websites and service delivery organisation for address-based facilities information. New data would need to be converted into GIS format and imported into GIS database.

4.3.3. At the outset it will be important to ensure that data is categorised appropriately. This can be complex as some service types overlap, although they may be delivered by different governing bodies, are funded by different initiatives and vary slightly in their individual mission and service objectives. As a result, when collating service locations it is easy to miss key services.

4.3.4. Attempting to group services into specific categories is a way of organising the information database. Below is a list of the different service types that could be allocated under each category.

Figure 4.2: Types of Facility by Category & Sub-Group

REF	Service Sub Category	Service Types	Group Description
Education and Learning			
1	Nursery education and childcare	Nursery schools/reception classes – LA; Day nursery (private), Creches, Sure Start children’s centres, Preschool play groups	Pre-school Child Care
		Toddler groups; After school/breakfast clubs/play schemes/out of school clubs; Holiday schemes	After school Clubs
2	Primary to 6th Form education	Primary school (infant and junior); Secondary schools; 6th Form colleges Libraries; Idea stores	School Age Education
3	Higher, Further, Adult Education	6 th Form, Colleges, Adult/Lifelong Learning Centres, Universities	Post school educations
Health & Social Care			
4	Primary care facilities (GP’s, Dentists, Pharmacies)	GP Surgeries; Dentists; Chemist/pharmacy; Opticians	
5	Intermediate care facilities (diagnosis & treatment centres)	Health centres; Walk in centres	
6	Acute care	Hospitals	
7	Social care facilities (children’s homes, elderly care home etc.)	Old peoples homes; Sheltered housing; Day centres	
Community Leisure, Recreation and Culture			
8	Open space/parks/playing fields	Parks & sports groups; Playgrounds	
9	Sports facilities – leisure centres	Sports/leisure centres; Gyms; Swimming pools	
10	Community centres	Clubs, Halls, Centres	
11	Youth Clubs		
12	Places of worship	Mosques ; Christian churches; Synagogue; Other	
Emergency/Essential Services			
13	Police Stations/community desks/holding area	Police stations, police ‘shop-fronts’, depots	
14	Fire stations	Fire stations, community fire stations	
15	Ambulance service points	Ambulance service points	

4.3.5. Figures 4.3 and 4.4 illustrate the GIS outputs from the mapping of services and facilities Stage.

Figure 4.3: Illustrative Mapping of Education & Learning Theme

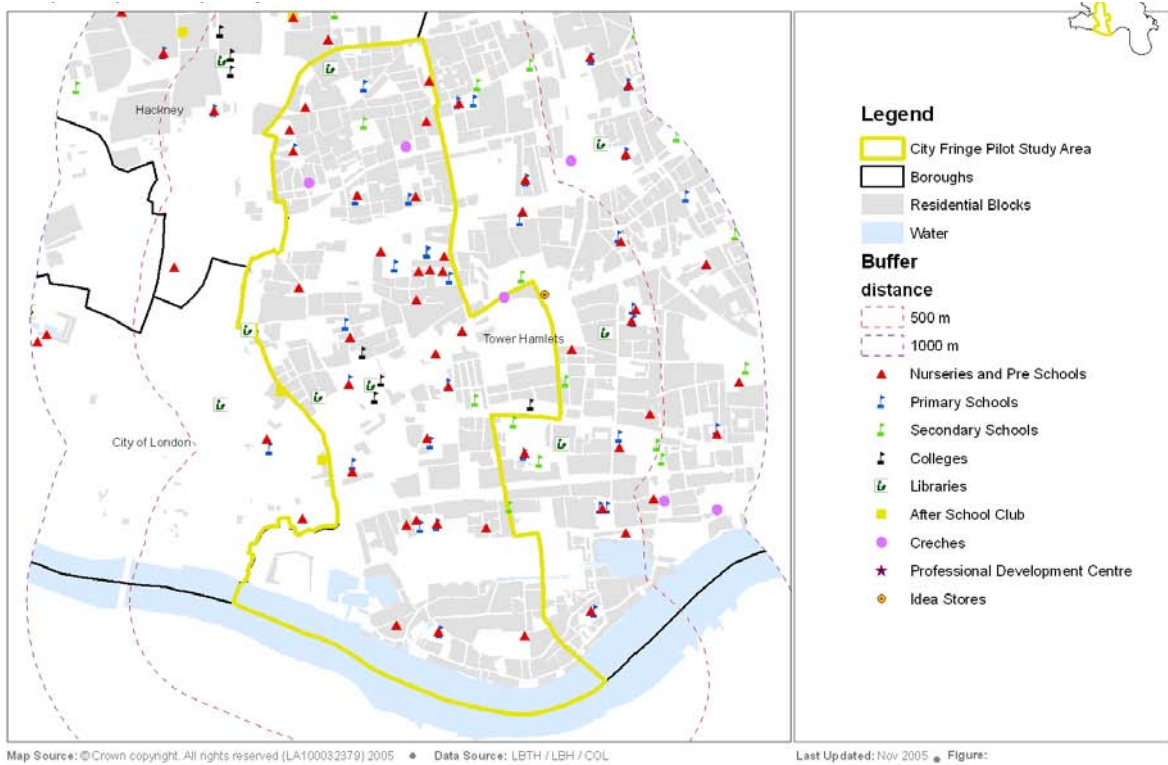
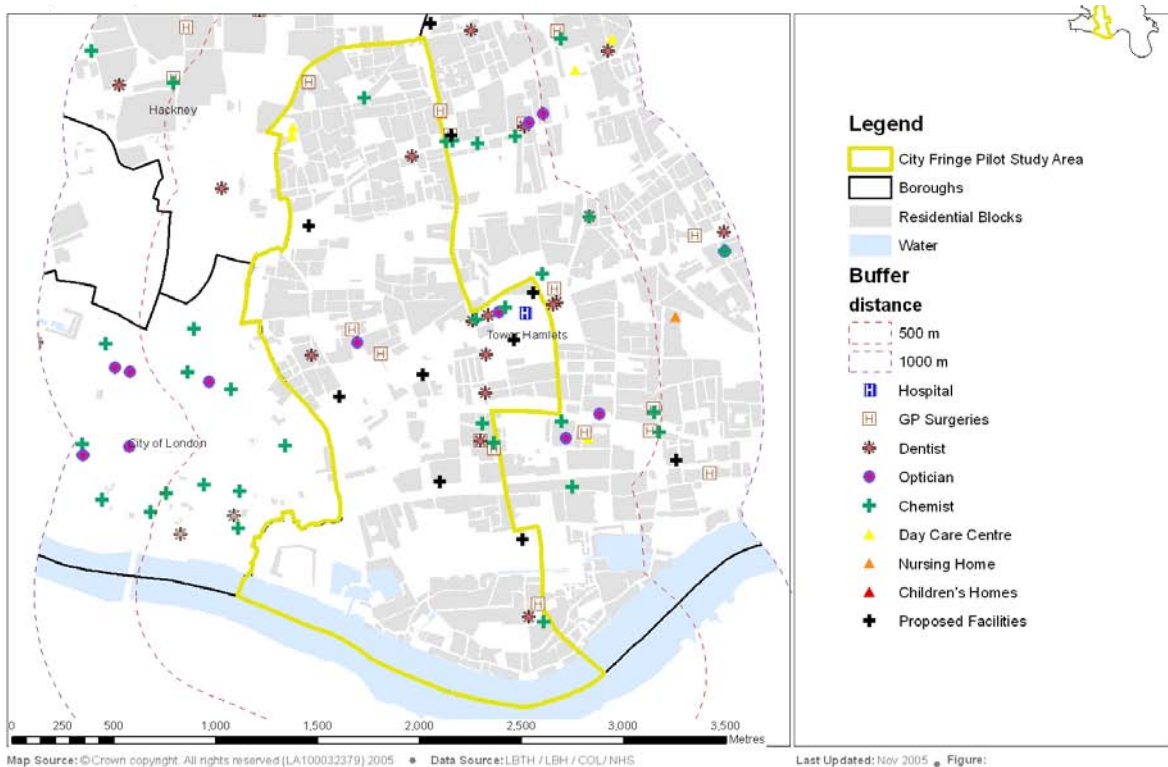


Figure 4.4: Illustrative Mapping of Health Theme



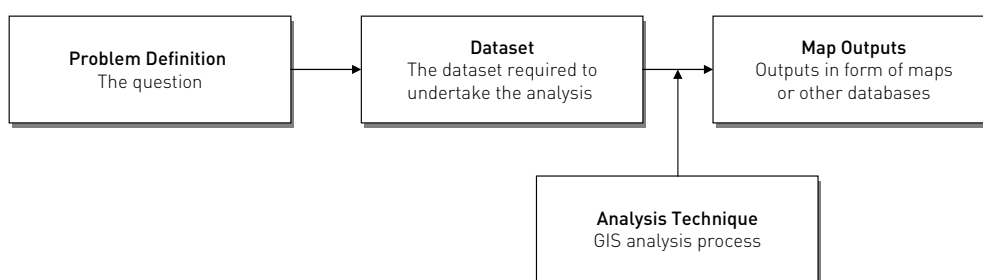
4.4. STAGE 2 – UNDERTAKING THE ANALYSIS & EVALUATION PROCESS

4.4.1. Once all the relevant data has been obtained it can then be used to address a series of specific questions that need to be answered to build up the evidence base to inform future service delivery approaches across a specific geographic (Local SIF) area. Some steps are defined as optional, where an extra level of analysis may be beneficial but this decision can only be made when considering the local context.

4.4.2. The analysis process is illustrated in Figure 4.5 which runs through a step-by-step process through which the data can be analysed through GIS to create a series of map based outputs that can guide the decision making process. GIS technology provides sophisticated tools that can help with planning social infrastructure, and a variety of methods are available depending upon which service area you are analysing, the scale and detail of information this is being analysed and the level of detail that is required in the outputs.

4.4.3. The process components are represented in Figure 4.5 below and illustrated in more detail overleaf highlighting the following key components:

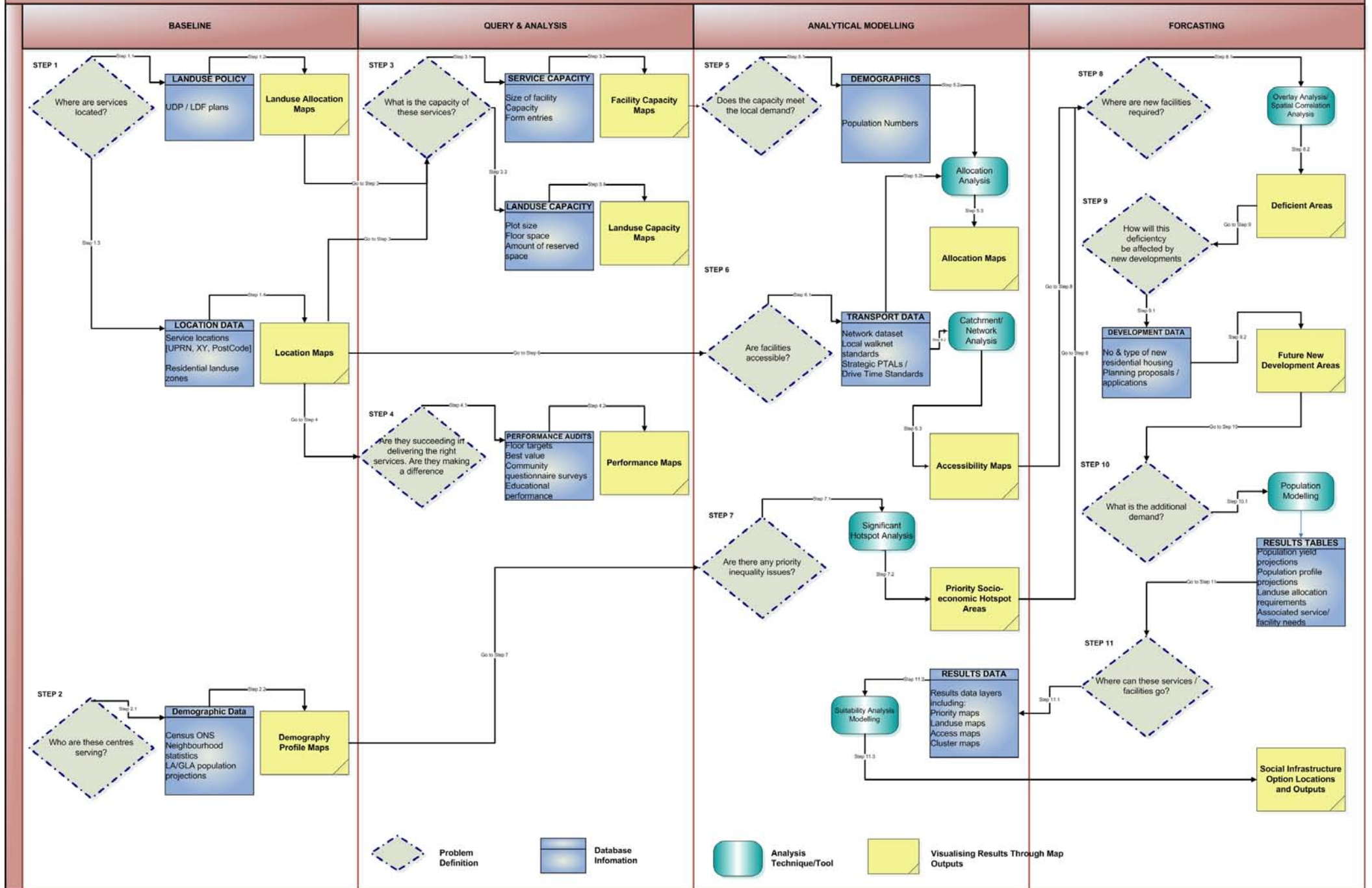
Figure 4.5: Approach to GIS Analysis



4.4.4. The analysis runs through four broad stages, namely:

- **Baseline:** understanding the local context in terms of where services are currently located (step 1a), what is the current land use profile (step 1b) and what are the underlying current socio-economic characteristics (step 2). The core outputs from this stage are simple maps (as per Figures 4.3 and 4.4) highlighting land use allocations and the location of current services, grouped into key sectors as illustrated in Figure 4.2;
- **Query & Analysis:** supplementing the baseline data with additional data relating to service/facility capacity (step 3) and performance indicators (where these are available) to illustrate how services are currently being used (step 4), where the pressure points are and how this relates to identified performance indicators. The core outputs from this stage would be maps highlighting the capacity and performance of certain facilities.
- **Modelling:** supplementing the data further and taking advantage of spatial analytical tools in GIS, this enables the further analysis of spatial relationships, by comparing the baseline population density against identified capacity (step 5), assessing the physical accessibility of services/facilities, based on walknet standards (step 6), and reviewing statistically significant clusters of socio-economic inequality/deprivation issues that could be addressed (step 7). The core outputs from this stage would be maps highlighting the accessibility of services/facilities and priority socio-economic clusters; Step 5 may be viewed as an optional layer of analysis that could help to understand the miss-match between supply and demand. It works by matching the total demand (e.g. people numbers along a street network) to the supply (i.e. quantity of resource of the service). However, it does assume that people will automatically go to the nearest centre and therefore does not capture the important factor of personal 'choice' in decision making.

PROBLEM DEFINITION – ANALYSIS – EVALUATION PROCESS FRAMEWORK



- **Forecasting:** combining the previous data with identified new areas of population growth to illustrate deficient areas against projected new need. The purpose here is to begin to decipher actual locations where new facilities are most required, either based on access issues (step 8), or capacity generated from new developments (step 9 and 10), and then trying to priorities suitable areas where land can be allocated for community services based on predetermined criteria (step 11). Step 11 can be a particularly important exercise to carry out, particularly in dense urban areas where there is little leftover space, but may require good knowledge of area and field work to prioritise sites. The forecasting data inputs for step 10 are evolved through the process described in Stage 3 of the overall process. The results can then be fed back into a spatial database to present the results and feed into the landuse allocation modelling process (step 12).

4.4.5. To gain the most value from the use of GIS, a clear understanding of the appropriate catchment characteristics and facility sizes & capacities will be needed for an effective analysis to take place. The issue of appropriate catchments and the availability of up to date small area statistics, is unfortunately far from clear and is subject to much debate and local influence. This is typified by the recent Schools White Paper which introduces a greater focus on alternative school selection processes other than pure geographic local catchment analysis.

4.4.6. Whilst the debate in relation to catchment zones is likely to go on into the future, it is clear that certain geographical criteria will need to be utilised to aid the decision making process in terms of where specific facilities should be located. A core distinction should be made between:

- Local or 'neighbourhood' facilities which should be expected to serve specific local communities, be located within easy walking distance of potential users, and assist to foster local community 'identity'. These should include smaller scale facilities such as primary schools, community centres and neighbourhood wardens/local police teams. The level of catchment or area of influence here would relate to the scale and type of facility. A standard walk time of 5 and 10 minutes should be illustrated around such facilities, and a wider 'distance decay' effect could illustrate this further by grading accessibility to facilities, subject to their scale.
- Strategic facilities which would serve a number of communities or neighbourhoods and as such need to be located in accessible positions in terms of strategic walking/cycling networks, with high PTAL ratings (public transport accessibility), as well as general network accessibility. These are likely to be larger facilities such as secondary schools and one stop primary care centres. Specific catchments and/or areas of influence are less relevant to such facilities and as such their locations should be overlaid upon public transport accessibility layouts to understand the underlying accessibility profile.

4.4.7. Emergency/essential services require unique approaches based upon the technical considerations adopted by the relevant stakeholders (such as target response times). The exception here relates to police provision in terms of their focus upon local representation, which again should be considered through a standard walk-time analysis as a local / neighbourhood facility.

Figure 4.7: Illustrative Mapping of Primary School Accessibility

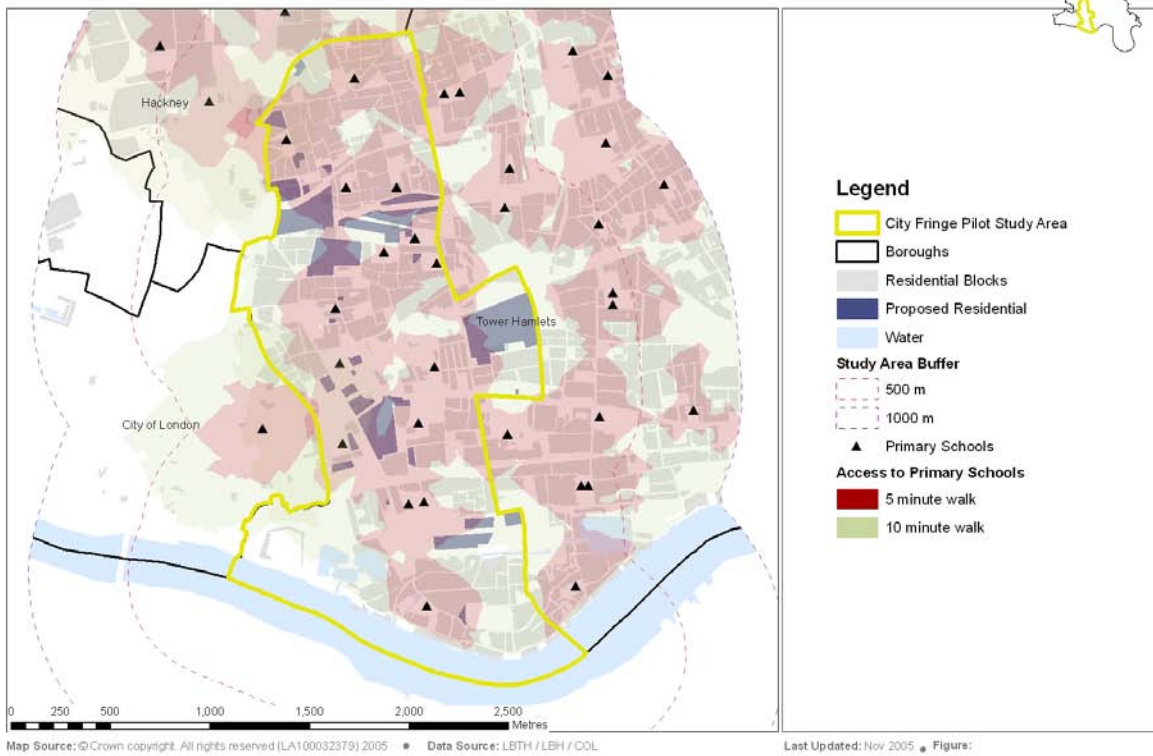
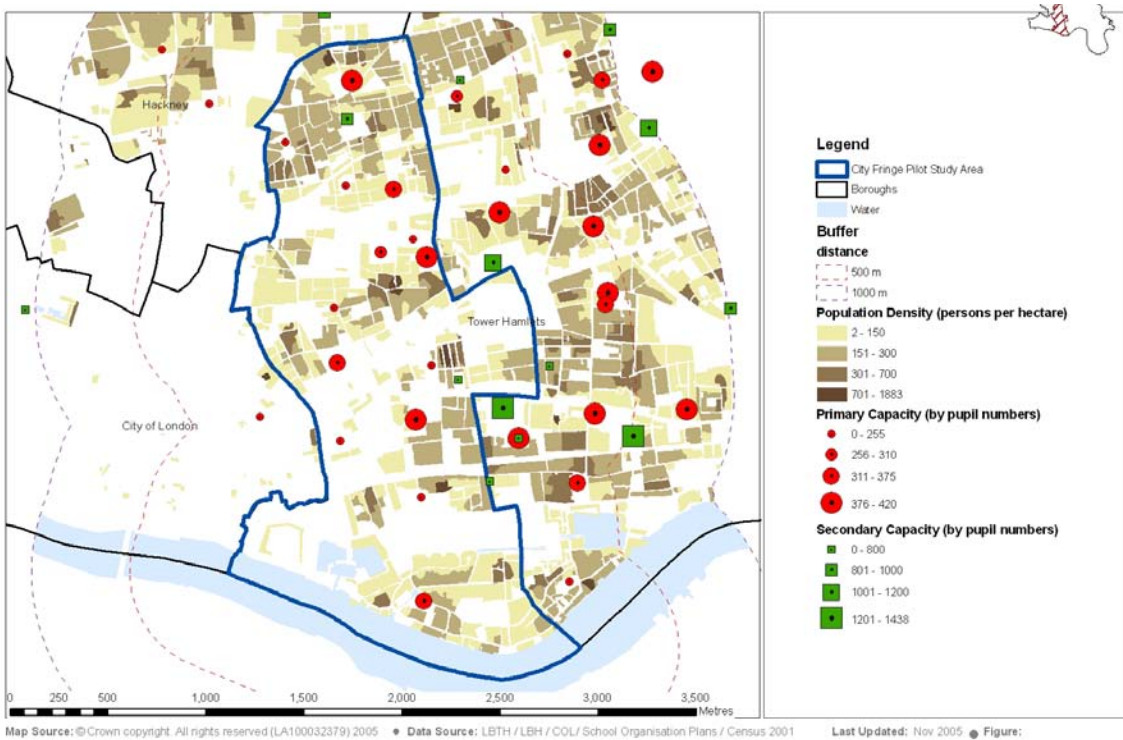


Figure 4.8: Illustrative Mapping of School Capacity



4.5. **STAGE 3: FORECASTING FUTURE SERVICE & FACILITY NEEDS**

- 4.5.1. The need for and associated provision of new social infrastructure is intrinsically linked to the extent of new population growth that will occur as a result of new residential development across the London Thames Gateway, and as such this component of the LTG-SIF illustrates the various approaches that are currently being used to assess population change into the future.
- 4.5.2. The approach to projecting future population change has been subject to much debate and analysis, and a wide range of alternative approaches are used by various stakeholders to guide the demographic analysis process. This section illustrates the key issues that will need to be considered when assessing social and demographic change, and presents a number of alternative methodologies that have been adopted by both the public and private sector to assess 'who' will be living across the London Thames Gateway area into the future.
- 4.5.3. Any such methodology that attempts to project into the future will be influenced by the following two key issues:
- The importance of understanding the 'type' of new residential growth, as different styles of housing will influence the social and demographic profile of potential occupiers. The key determinants of occupier socio-economic profiles are whether it is private sector or affordable (with social rented housing having the highest rates of occupancy), the number of bedrooms, and whether the units are houses or flats. All these factors can have significant impacts both on the total population and associated child yields;
 - The need to consider the overall 'net' demand for social infrastructure within the local SIF areas, through understanding the balance between new population growth in new residential units, as opposed to the 'churn' that may occur within existing communities, either through natural change or directly through the implication of the new development itself, changing the profile and character of existing areas and potentially addressing local overcrowding.
- 4.5.4. These two issues are inherently difficult to project with precise accuracy, and whilst there are a number of existing methodologies that can assist the process, none have as yet been able to reconcile the two separate components to provide one comprehensive, accurate and easily updatable source of data that can be applied at a regional, sub-regional, local and sub-local level,.
- 4.5.5. In order to bring forward some preliminary calculations of the potential demographic impact, and enable the physical provision of new social facilities to be incorporated directly within the Local SIF, a review has been undertaken to consider the existing methodologies that have been adopted through other projects and by various decision making bodies in relation to forecasting growth.

Overview of methodologies

- 4.5.6. A variety of demographic forecasting models have been taken forward by a range of different organisations. The alternative methodologies primarily relate to four aspects:
- Broad (trend) based population projections;
 - Unit based population projections and child yields;
 - Use of other databases such as CORE;
 - Population projections from new housing development.
- 4.5.7. This section provides a review of the alternative methodologies that have been adopted to assess the demographic impacts and associated social infrastructure needs of major development proposals.

ONS Population Projections

- 4.5.8. ONS produce annual population projections at Borough level which are consistent with mid year population estimates, at national and sub-national levels.

- 4.5.9. They project forward to give an indication of future trends in population by age and sex for the next 25 years, and are trend based, which means assumptions for future levels of births, deaths and migration are based on observed levels over the previous five years. They show what the population will be if recent trends in these continue into the future.
- 4.5.10. The projections do not take into account any policy changes that have not yet had time to influence outcomes, and are constrained at a national level by the national projections produced by the Government Actuary Department.
- 4.5.11. As the projections are trend based, they do not take into account detailed local planned housing developments. In response to this, a further version of the November 2004 figures were produced to incorporate an additional element relating to the 'Growth Areas' as per the ODPM Sustainable Communities Agenda. These updated figures were prepared by ONS together with the Population & Housing Group at Anglia Polytechnic University, using their 'Chelmer Model', based upon projecting ages and genders based upon assumptions on births, deaths, household formation rates and migration.
- 4.5.12. The ONS / APU projections, incorporating the Growth Area Adjustment were used by the Department of Health to allocate funding to Primary Care Trusts between 2006/07 and 2007/08 and as such are of particular importance to the planning for and delivery of health services at a local level.
- 4.5.13. The advantages of this forecasting process is that it includes all the necessary inputs and outputs to prepare net population changes into the future. The main disadvantage is that the population associated with new housing is based upon applying trend rates to total housing unit numbers. It therefore does not enable more refined analysis to occur to break down new housing into different typologies (ie small urban apartments, versus family homes) – which will have significant influences on household sizes and child yields at a local level. It also may not reflect the actual rate of housing completions at a Borough level.

GLA Population Projections

- 4.5.14. The Data Management and Analysis Group (DMAG) at the Greater London Authority undertake a number of research activities relating to demographic monitoring and predicting population change across London.
- 4.5.15. The work of the DMAG is ongoing and the very latest information should be sought from them in relation to informing the assessment of potential population growth. The documents below present the latest GLA advice as at the end of 2005, but should be monitored for further updates over time.

DMAG Briefing Note 2005/33 (September 2005): 2005 Round Interim Demographic Projections

- 4.5.16. Population projections are produced annually by DMAG, building upon the mid-year population estimates that are released by ONS in August/September each year. Briefing Note 2005/33 is the latest version which updates the projections published in the 2003 Round Scenario 8.1. The publication of these projections was delayed slightly to incorporate the residential growth projections contained in the 2005 London Housing Capacity Study and as such reflects the potential growth in housing on a borough by borough basis. The data contained in the latest note are considered as 'Interim' projections, awaiting the availability of ODPM 2003-based household projections which will provide further information in terms of marital status and household representative rates. The projections combine a series of statistics together, and include detailed consideration of fertility & mortality rates and migration:
- 4.5.17. The projections create a 'Central' projection, together with a low and a high variant, and the key population changes for London as a whole are illustrated in Figure 4.9.

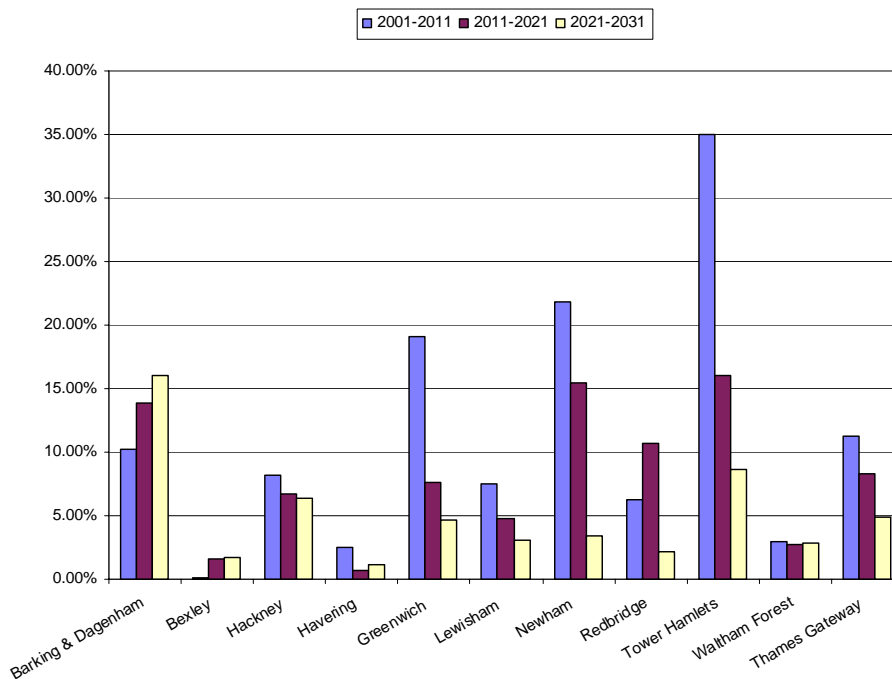
Figure 4.9: Greater London 'Central' Population Projections

Years	Low	Central	High
2006	7,539,400	7,563,800	7,588,300
2016	8,041,100	8,167,400	8,296,700
2021	8,270,100	8,437,600	8,610,200
2031	8,650,100	8,883,800	9,127,400
2001-2016	+ 718,700	+ 845,000	+ 974,300
2016-2031	+609,000	+ 716,300	+ 830,700

Source: DMAG Briefing Note 2005/33

- 4.5.18. The analysis undertaken to prepare the Central projections was then combined together with household changes as since 2001, and future changes indicated in the 2005 London Housing Capacity Study to create Scenario 8.06, which has an overall impact in reducing the Central Projection (at 2016) down to 8,059,200, a decline of 108,000.
- 4.5.19. The overall population change of London is stated as being driven by increasing number of births and declining deaths and the scale of new house building, in particular across the London Thames Gateway Boroughs. The levels of population growth anticipated across each of the London Thames Gateway Boroughs over the period 2001 to 2011, 2011 to 2021 and 2021 to 2031 is identified in Figure 4.10, which reveals that Tower Hamlets, Newham and Greenwich will experience the fastest growth over the shorter term, with Barking & Dagenham experiencing a greater growth over the medium to longer term. In terms of total change across the London Thames Gateway from 2.2m in 2001 to 2.45m in 2011, 2.6m in 2016 and 2.8m in 2031, an overall growth of approximately 600,000 people during this period.

Figure 4.10: Thames Gateway Boroughs Population Growth each decade between 2001 and 2031

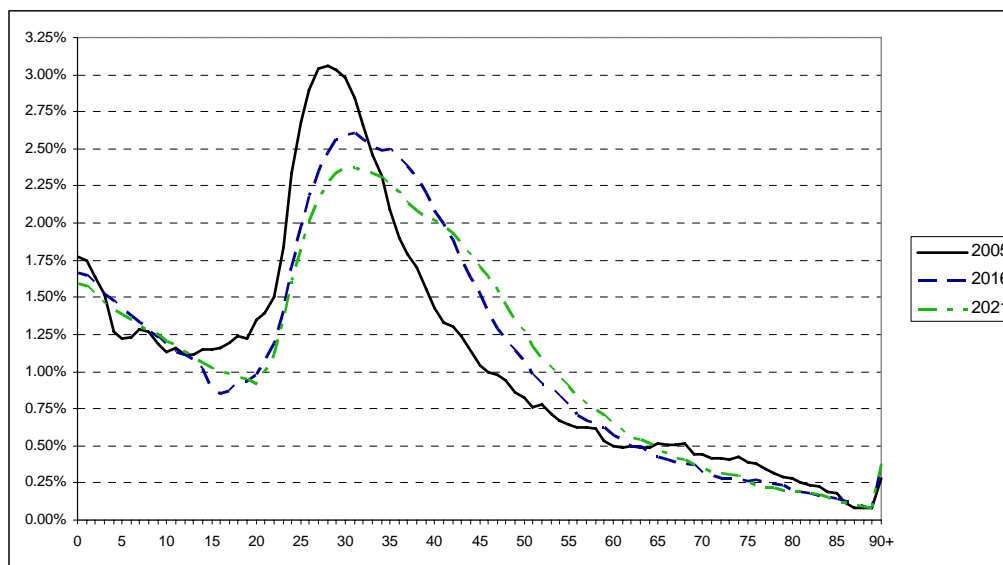


Source: GLA DMAG Briefing Note 2005/33

- 4.5.20. The projections also contain age based analysis, year on year, and illustrate the changing population profile that is anticipated across London into the future, with a higher average age with greater number of people aged under 18 and between 30 and 65 and lower and later peak in the late 20s / early 30s age

groups. This change in the population profile is illustrated in Figure 4.11 below which illustrates the projected age structure of the LB Tower Hamlets at 2005, 2016 and 2021.

Figure 4.11: LB Tower Hamlets, Changes in Population Profile 2005 to 2021



Source: GLA / DMAG Analysis

- 4.5.21. The DMAG analysis can be broken down to Borough and individual ward level, enabling local projections to be sourced, although it is recognised that at a local level, ward boundaries are unlikely to follow the exact boundaries of individual Local SIF areas, and therefore for this to be used, it would need to be proportionately adjusted in relation to the number of households located within pilot area boundaries.
- 4.5.22. Undertaking a review of the Borough and appropriate proportions of relevant local wards would assist to inform the full anticipated extent of population change, incorporating issues relating to birth/death rates and migration.
- 4.5.23. The advantages and disadvantages of using the GLA projections are similar to those relating to the ONS projections, and whilst they do enable a more localised level of analysis to be undertaken, the issue of the typology of residential development and likely occupier profile becomes more of an issue in terms of correctly assessing the level of population change at a local level.

Unit Based Population Analysis & Child Yields

- 4.5.24. The alternative to high level trend based analysis is to consider the specific occupier profile of specific numbers and typologies of residential units to provide a more refined assessment of population change at a very local level.
- 4.5.25. This form of analysis enables a more detailed consideration to be given to 'child yields', a topic over which there has been much debate, in particular due to the significant impact that this will have on education planning at a local level
- 4.5.26. The most common alternative approaches relate either to using advice issued by DMAG at the GLA approach, using established surveys of new housing occupation, or a variety of new methodologies that have been incorporated in relation to specific development projects.

DMAG Briefing Note 2005/25 (August 2005): 2005 Child Yields

- 4.5.27. The GLA Child yield work has been historically based upon work commissioned by the old London Research Centre (LRC) from the Department of the Environment. This research was derived from a Labour Force Survey of Greater London and the South East in 1992 and established the numbers of children (aged from 0 to 15) in dwellings with between one and four or more bedrooms in Inner and Outer London for both private and local authority tenures.

- 4.5.28. The Labour Force Survey showed that, for Local Authority or Housing Association houses in Inner London the average house with three bedrooms yielded 0.957 children. This survey, because it was not confined specifically to 'new' housing stock, and as such included dwellings with elderly couples, and those with children older than 15, was assumed would actually underestimate the 'child yield' from new housing provision.
- 4.5.29. In the light of the policy of allocating families with two or more children to new LA or HA dwellings with three bedrooms, the findings of the Labour Force Survey were scaled up by a factor to yield two children per LA or HA dwelling with three bedrooms in Inner London. This 'factor' uplift was then applied across all the other data variables to provide the assumed child yield from each type of residential property (number of bedrooms, either private or social)
- 4.5.30. The figures based upon those from the Labour Force Survey have been used extensively to estimate child yield from new housing developments in London, and have formed the basis of many Supplementary Planning Guidance documents adopted by local authorities to set out the education S106 contributions that are expected to accompany new housing proposals. Having said this, they have been subject to a number of challenges by private developers, and have been considered by many to be over estimating child yield.
- 4.5.31. DMAG Briefing Note 2005/25 provides an update to the analysis of child yields and considers new evidence that has come to light over recent years.
- 4.5.32. In relation to the opportunity for data from the 2001 Census to clarify child yields, whilst the DMAG note recognises the overall value of the Census in relation to comprehensive population data, it considers that there are certain limitation in terms of being able to confirm the number of bedrooms per household unit (as the Census only obtained data in relation to the number of 'rooms'). The Census did not also differentiate between old and new housing. The note does however identify the value of analysing discreet output areas in relation to 'new' housing areas as well as assessing the data in relation to new postcodes in order to quantify the profiles of new housing occupiers.
- 4.5.33. The briefing note goes on to review three additional pieces of research that inform further the analysis of child yields from new developments:
- 2002 London Household Survey. This survey of over 8,000 households across London provides data relating to age structure set against dwelling size (including rooms and bedrooms). This data revealed that child yields on the whole were similar to those recorded by the original GLA analysis (the non-scaled up values from the LRC model), although generally more children were identified in the 'social rented' sector.
 - Wandsworth New Housing Survey, 2004. This survey focused upon the resident profile of new housing and provided a useful comparator for the type of child yield that may occur through development within an 'Inner' London context. The survey revealed the child yields for private and social housing based upon the number of bedrooms and whether the units were flats or houses.
 - Oxfordshire New Housing Survey, 2004. Similar in scale to the Wandsworth Survey, yet different in character, this survey again provided data relating to child yields of new development based upon the number of bedrooms. It did not however, provide data relating to tenure or type (houses or flats), although it would be reasonable to assume that the vast majority of the houses surveyed would be houses in private ownership. The GLA considered that this data may be most appropriate in assessing child yields for 'Outer' London Boroughs.

The CORE database

- 4.5.34. Another key data source for assessing population and child yields is the COntinuous REcording (CORE) system that was developed jointly by the National Housing Federation and the Housing Corporation and is used to record information on both Registered Social Landlord (RSL) lettings and sales across England. The system was established in 1998 and in 2004 Local Authorities were invited to participate, and it is managed by the Joint Centre for Scottish Housing Research at the University of St Andrews.

- 4.5.35. The database captures detailed data relating to household characteristics, economic status, ethnicity, age composition of residents and can be searched by Local Authority area to provide an overview of the profile of occupiers of social housing.
- 4.5.36. This source is detailed and continually updated with latest data and as such provides a good quality evidence base of the profile of new occupiers, across a range of different social housing typologies. This is its greatest strength. The main disadvantage is that the data obtained is a snapshot in time based upon the occupiers profile, and as such it may not truly reflect how the resident profile may mature and change over time.

Other Analysis

- 4.5.37. Whilst the original GLA methodology has informed a number of Borough driven calculations, as individual major residential schemes have been submitted for planning approval, a range of alternative methodologies have been adopted to assess the specific demographic and child yield impacts of specific development proposals.
- 4.5.38. These alternative methodologies tend to be based upon two key alternative approaches:
- Based upon data contained in the 2001 Census, either through testing the age profiles of 'comparable' small geographic areas (using small scale 'Output area' data), or through extrapolating age profiles at larger ward or Borough bases; and
 - Based upon specific occupier surveys such as those undertaken either by private developers, letting agents or landlords in relation to the nature and characteristics of new residential occupiers. With regard to social housing, data can also be obtained through the CORE system.
- 4.5.39. A brief overview of alternative approaches are introduced in Appendix A3 and include the following major regeneration planning projects across the London Thames Gateway sub-region:
- Greenwich Millennium Village, with analysis primarily based upon 2001 Census analysis
 - Lower Lea Valley Regeneration Strategy, again based primarily upon 2001 Census;
 - Stratford City, based upon a private accommodation survey undertaken by FPD Savills and the CORE database

Summary of Alternative Methodologies

- 4.5.40. The previous analysis has briefly introduced the range of methodologies being adopted to assess demographic impacts and as such the basis of social infrastructure needs. The overview is far from exhaustive, as other major development proposals tend to adopt bespoke approaches to the analysis to enable impacts to be assessed that more closely reflect the individual circumstances of each proposal.
- 4.5.41. What is clear from the analysis is that the (now historic) original GLA methodology had been potentially significantly over-predicting impacts. The revised GLA advice on child yields has amended these assumptions and provided further evidence. Having said this, it is recognised that given any population projection will need to be based upon assumptions in relation to future life styles, there will always be some risk in terms of how accurate the initial assumptions will end up being. It is for this reason that any analysis relating to large scale residential development that will occur over a significant timescale should be based upon the best available comparable data, but should be kept open to regular review as more data becomes available or more is known about changes in modern living patterns.
- 4.5.42. With specific reference to assessing new population growth as part of the Local SIF process, it is considered that it is most appropriate to assess this based upon average household sizes and child yields related to specific breakdowns of units to provide a more refined assessment of the actual potential population across a local area. This is opposed to attempting to disaggregate broader ONS or GLA population projections, which by their nature do not lend themselves to local interpretation.
- 4.5.43. This, however leaves a gap in relation to assessing the broader population 'churn' that may occur within a specific local area, although it would be reasonable to expect that areas of existing housing would continue to be occupied into the future but the profile of the occupiers would be likely to change in

relation to a general ageing population and further immigration. This impact of this will to some extent have to be derived from an assessment of the local context, and flexibility would need to be retained to enable a proportion of the new population growth to be 'discounted' to address wider churn, and a specific allowance should be built in to the modelling to address issues such as re-housing local social housing residents and relieving overcrowding across the local social housing stock. The actual discount rates to be applied would need to evolve through discussions with local stakeholders, in particular the Local Authority and RSLs.

4.5.44. In terms of demonstrating the impact of choosing alternative methodologies, Figure 4.12 illustrates the range of total populations generated through an illustrative scenario of 1,000 units, located in the London Borough of Tower Hamlets, with 50% units private, 35% social rented and 15% intermediate, and unit breakdowns of 20% 1 bed, 40% 2 bed, 20% 3 bed and 20% 4 bed.

4.5.45. In the matrix below a number of approaches have been tested applying average household sizes separately to both the market units and the affordable units. This allows the reader to understand the possible variations in population growth depending on a chosen approach. The various approaches in the matrix are as follows:

- Approach 1: Census 2001 – Inner London Average;
- Approach 2: Census 2001 – Tower Hamlets Borough Average;
- Approach 3: London Household Survey 2002 – Inner London Average;
- Approach 4: London Household Survey 2002 – Tower Hamlets Borough Average;
- Approach 5: Wandsworth Housing Survey;
- Approach 6: Core Letting Analysis – Tower Hamlets Borough Average (only applied to social rented);
- Approach 7: East London Affordable Housing Survey (ELAHF) (only applied to social rented)

Figure 4.12: Tower Hamlets Illustrative Scenario Based upon 1,000 Units

Net Population Growth		Market & Intermediate Housing Units					
		Methodology	Approach 1	Approach 2	Approach 3	Approach 4	Approach 5
Social Rented Units	Methodology	Total Pop. by Tenure	1,339 (M I)	1,427 (M I)	1,419 (M I)	1,544 (M I)	1,433 (M I)
	Approach 1	489 (SR)	1,828	1,916	1,908	2,033	1,922
	Approach 2	575 (SR)	1,914	2,002	1,994	2,119	2,008
	Approach 3	432 (SR)	1,771	1,859	1,851	1,976	1,865
	Approach 4	610 (SR)	1,949	2,037	2,029	2,154	2,043
	Approach 5	693 (SR)	2,032	2,120	2,112	2,237	2,126
	Approach 6	593 (SR)	1,932	2,020	2,012	2,137	2,026
	Approach 7	701 (SR)	2,040	2,128	2,120	2,245	2,134

4.5.46. The illustrative analysis reveals that the alternative population forecasts range from a low of 1,771 people (based upon combining the Affordable Housing formula from the London Household Survey for Inner London, with the Census 2001 Inner London figures for the Private Market and intermediate units) through to a high of 2,245 (based upon combining the Affordable Housing formula from the East London Affordable Housing Survey with the London Household Survey Tower Hamlets figures for the Private Market and intermediate units). The greatest range is identified in the alternative approaches to forecasting the population within the affordable housing units, with a range from 432 up to 701 (a 65% increase) as opposed to a range of 1,339 to 1,544 (a 15% increase) for the private units.

4.5.47. When considering the most appropriate approach to take in an individual area, it will be important for stakeholders to consider the approach that best reflects their local circumstances, whilst also understanding the relatively minor differences in output terms between using certain alternative

methodologies. Using the Planning Model discussed below will enable stakeholders to easily and quickly test the alternative scenario outputs and the associated social infrastructure implications.

Using the Social Infrastructure Planning Model

- 4.5.48. Central to the implementation of the Local SIF is to fully analyse the needs of the expanding population of the local area and the associated impacts that this will drive in relation to the need for new social infrastructure services and facilities.
- 4.5.49. The final element of the Local SIF process is therefore to combine the population projection modelling previously discussed with the associated social infrastructure needs that this drives, and then to incorporate this into the GIS system to enable a comparison to be made between the underlying context of service delivery against the scope and scale of new need.
- 4.5.50. To enable this process to be undertaken, an electronic (Microsoft Excel based) model has been prepared to accompany this Toolkit. This model has three elements to it:
- A demographic impact assessment establishing the key demographic characteristics generated by the housing in question.
 - An analysis of the social infrastructure requirements associated with these demographic characteristics
 - A facility planning tool, enabling the user to work up potential facility solutions to meet the needs established in the previous elements of the model.

Demographic Impact Assessment

- 4.5.51. The initial stage in the Social Infrastructure Planning (SIP) Model requires the user to input the scale of residential development broken down into different housing typologies (number of bedrooms and whether the housing is private/intermediate or affordable/social rented). The model then requires the user to make a number of project specific decisions including:
- Choosing the most appropriate population forecasting (average household sizes) and child yield approaches to be used. These are selected from a defined list, including the ratios indicated in the various alternative methodologies including the (updated) GLA yield analysis, the 2002 London Household Survey, Census 2001 and the CORE database. This enables flexibility to be retained by users of the model to reflect the implications of alternative approaches and to choose the one which is considered to be most appropriate to their local circumstances;
 - Choosing whether to look at net new demographic impacts, taking into account the rehousing of existing populations within the new housing, or to look at gross demographic impacts generated by the housing in question.
- 4.5.52. As these decisions are applied, the model calculates the future population associated with the housing input and the associated child yield.

Associated Social Infrastructure Requirements

- 4.5.53. The model takes the demographic characteristics generated in the first part of the model and applies a set of standards / ratios to generate a list of core social infrastructure requirements. The standards/ratios applied have been taken from a number of sources including National, Regional and Local Government policy guidance, best practice guidance notes, and Borough specific section 106 guidance. The core requirements generated by the model include:
- Education needs: childcare places, primary school pupils (form entries), secondary school places (form entries); library space,
 - Health needs: consultation rooms, GPs, Acute & other bed requirements;
 - Leisure & Open space needs: community centres, sports halls, swimming pool and bowls halls, open space (based upon NPFA or other more relevant local authority standards);

- Emergency / essential services needs: police officers, police floorspace, fire stations, ambulance stations, ambulances
- 4.5.54. While the model provides a list of overall impacts, it will be down to working with local stakeholders to evolve the most appropriate local solutions, based upon the local policy and land use context across each Local SIF area.
- 4.5.55. The outputs should therefore be treated as a starting point only to guide discussions in terms of the scope and scale of potential service needs. They are based upon current guidance and standards and thus are not necessarily responsive to looking beyond current practice. The outputs are therefore not intended to be rigid, final answers and indeed it is partly an objective of the overall Framework to guide stakeholders to move beyond traditional responses – to do something different and better than before. The calculations should therefore be treated as a starting point to frame the scope and scale of potential responses, but not define them rigidly at this early stage in the process.
- 4.5.56. It is also important to note that the components of social infrastructure calculated by the model do not address the full range of services or facilities that may be required and are produced to guide stakeholders in terms of the likely scale of impacts against specific topics, rather than specifically define how such impacts would manifest themselves at a local level.

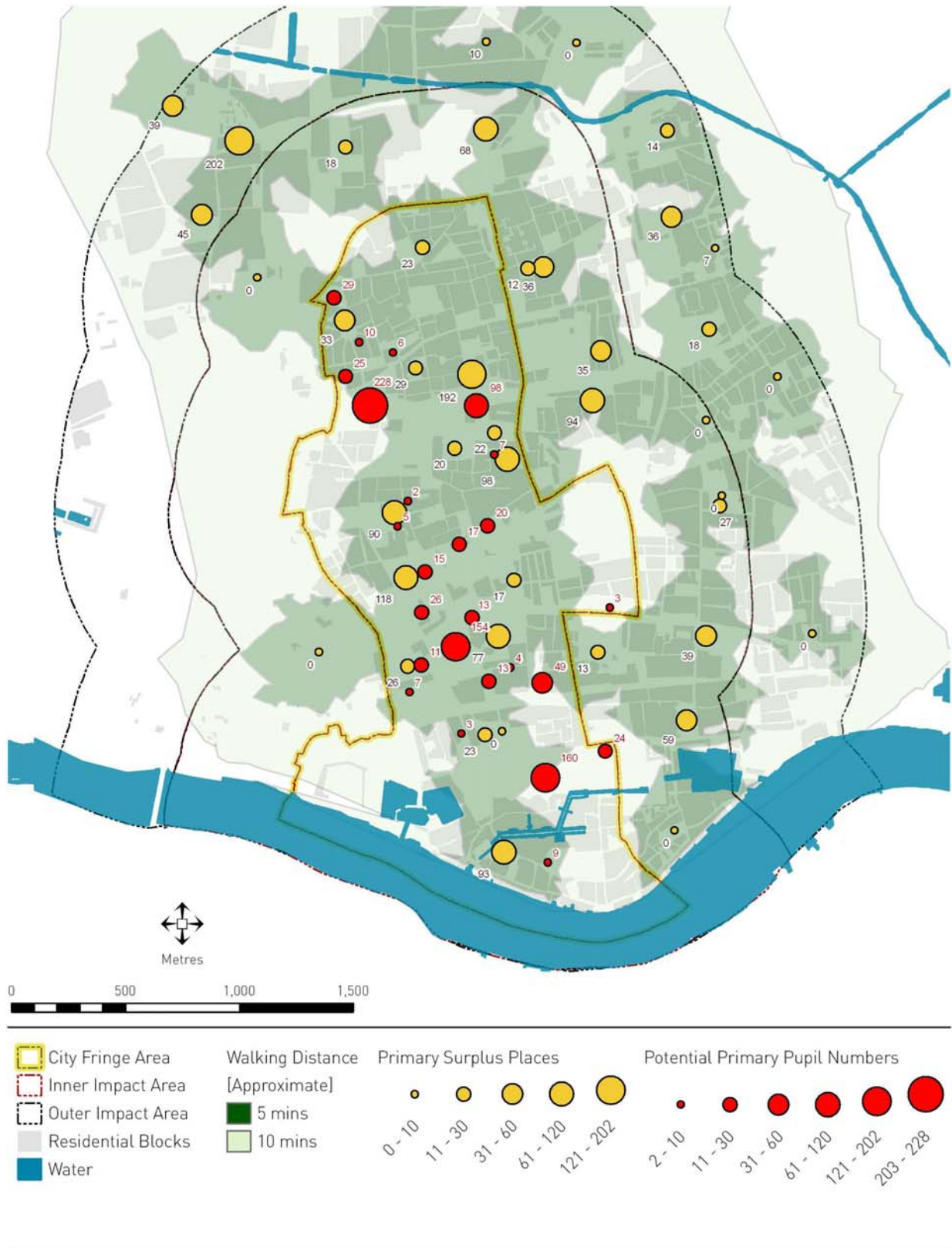
Bringing together the supply & demand analysis

- 4.5.57. The final stage in the process is to combine the analysis undertaken in Stage 2 with the demand side of the equation which evolves through Stage 3, presented above.
- 4.5.58. Once the Social Infrastructure Requirements have been quantified, these will need to be transferred back into GIS and mapped in relation to the key themes to compare issues around the current supply of services, their capacity and accessibility together with the location and scale of new demand. Examples of this is illustrated in Figures 4.13 (primary school impacts) and 4.14 (health impacts).
- 4.5.59. Together all these elements of the analysis will provide a useful evidence base to support the identification of specific service/facility responses, although it must be recognised that the actual definition of solutions would need to be resolved at the local level.

Facility Planning Tool (FPT)

- 4.5.60. A further part of the Planning Model is a specific 'Facility Planning Tool' which has been evolved to assist the formulation of an appropriate response to the new requirements that are generated through the analysis. The idea behind this tool is to enable the user to not only establish the social infrastructure needs associated with a population changes but to test possible physical facility solutions and understand the space requirements and site needs associated with each proposed solution.
- 4.5.61. The FPT allows the user to build up a facility, whether a single purpose facility, such as a stand alone primary school or multipurpose facility such as a One Stop Shop or an Integrated Health And Social Care Centre. The tool presents a series of service options (such as a nursery, health facility, library space etc.) which can be triggered on or off and depending on the services selected, and can then be further adjusted by additional variables such as the number of GPs or Dentists. As these services and their exact definition are adjusted the tool calculates the required floorspace needed to accommodate the services and the associated land takes.
- 4.5.62. The FPT can be used a number of times producing and testing the implications of various facilities. The SIP model subsequently calculates the combined new capacity these facilities would provide and the combined floorspace and land take associated with this.
- 4.5.63. It is important to recognise that this Tool should not be treated as a definitive planning process, and has been produced merely to begin to enable users to explore the opportunities to combine services and facility responses and consider the implications that these may bring in terms of space and service planning.

Figure 4.13: Illustrative Mapping of Supply and Demand analysis: Primary School Places

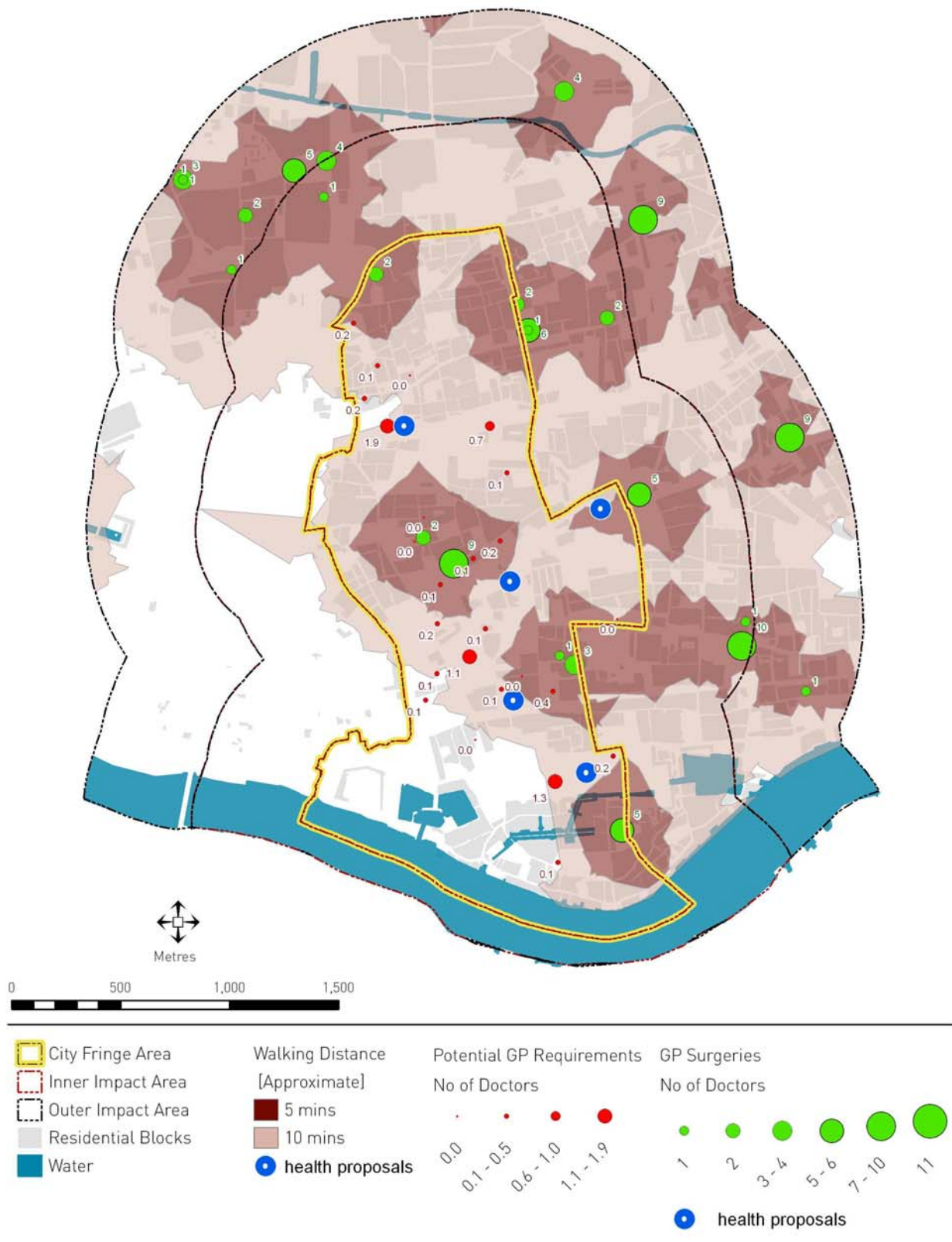


Data Source: LB Tower Hamlets / LB Hackney / EDAW

Last Updated: Feb 2006

Map Source: © OS Crown copyright. All rights reserved (LA100032379) 2005

Figure 4.14: Illustrative Mapping of Supply and Demand analysis: Health



Data Source: LB Tower Hamlets / LB Hackney / EDAW • Last Updated: Feb 2006

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5. Module 3: Evolving & Testing Solutions

5.1. INTRODUCTION

5.1.1. The baseline information and evidence gathered during Modules 1 and 2 would provide the basis to move forward, working directly with stakeholders to evolve and test potential responses.

5.1.2. As has already been discussed, the LTG-SIF involves a wide range of potential stakeholders across the themes of education, health, leisure/recreation, community/voluntary and emergency/essential services. As such, it will need to evolve in such a manner that ensures that the views, needs and aspirations of a wide range of partners can be embodied both in the formulation of outcomes. An appropriate level of engagement will therefore need to be built into the process at the outset.

5.1.3. It is important to ensure that a wide range of key stakeholders are involved in the Local SIF process for the following reasons:

- **Inclusivity.** Full and proper engagement would ensure that key agencies and service providers feel that they have contributed directly to the development of outcomes that they will be ultimately tasked with delivering;
- **Transparency.** Timely, accurate, comprehensive and accessible recording of views and representations is required in order to shape the final decision making;
- **Appropriateness.** The range of stakeholders, their level of involvement and likely knowledge, the potential for differences of view and the opportunity for awareness raising influences the approach adopted;
- **Clarity.** The roles of different "players", including where final decision-making lies, must be made clear;
- **Comprehensiveness.** Engagement needs to cover several stages, including dissemination of plans or decisions and arrangements for reporting on stakeholder engagement.

5.1.4. In addition to the principles identified above, it is crucial that the approach to engagement enables general awareness of the project to be raised, and ensures that all stakeholders buy-in to the process. It also needs to facilitate joint working by bringing different stakeholders together, identifying who will be responsible for delivering different components and establishing the types of collaborative arrangements that may have to be developed.

5.1.5. For the purposes of the approach to engagement, it is important to define exactly 'who' should be engaged. This Framework makes a distinction between "stakeholder" and "community" with these two terms being defined as follows:

- **"Stakeholder"** – Public, third sector (voluntary and community) service policy makers, delivery agents or funders, also including the private sector who now play a more active role in delivery;
- **"Community"** – residents and/or community representatives from within local areas of interest.

5.1.6. The approach to engagement separates these two elements and illustrates the alternative mechanisms that should be used to bring forward the LTG-SIF and implement it at the local level.

5.1.7. The key outcomes from Module 3 are illustrated in Figure 5.1.

Figure 5.1: Module 3 Outcomes

- Assess what needs to be tested, how the engagement process should occur and who it should occur with.
- Engage with relevant stakeholders.
- Engage with local communities / service user groups;
- Fully consider related issues in terms of workforce and local economic development
- Evolve and refine service delivery responses.

5.2. **STAKEHOLDER ENGAGEMENT FOR THE LOCAL SIF**

5.2.1. The Framework will need to present alternatives and be flexible enough to respond to any competing objectives that may arise, leaving it open for alternative ways forward as and when the Framework is implemented at a local level, through the local SIFs.

What should be engaged upon

5.2.2. The evidence gathered through Modules 1 and 2 should be brought together and presented to stakeholders to set out:

- An overview of current policy & practice at national and local levels to ensure that all parties acknowledge the policy drivers and aspirations for new service delivery;
- A review of the current supply of social infrastructure services across the Local SIF area, drawing out issues of accessibility, capacity and performance (where appropriate);
- A review of local residential and population growth trends and forecasts together with the associated potential impacts on social infrastructure;
- Initial high level presentations of ways forward in terms of responding to future service needs, primarily to stimulate debate amongst the partners as to how they can work together to evolve the most appropriate solutions.

Who should be engaged with, and how would this be done

5.2.3. Considering the overall scope of the SIF, there is a clear need to address all relevant service areas across the four main themes. Figure 5.2 below outlines the overall engagement participants' structure split by various service areas.

Figure 5.2: LTG-SIF Service Area: Stakeholder Consultee organisations, strategies and consultation processes

Consultation Strand	Organisation & stakeholder types	Relevant strategies & plans	Issues & obstacles
Theme 1 Education	DfES, Local Education Authority/Education departments, Local Schools, LSCs, Further & Higher Education Providers, Library Services, Private Sector	DfES strategies, Building Schools for the Future phasing plans School Organisation Plans Individual school plans, Green & White Papers,	LEAs guiding investment at the authority level, individual schools becoming more independent at local level. Local SIF areas may cross LEA boundaries.
Theme 2 Health & Social Care	DoH, PCT, SHA, LIFT, HUDU, Social Services, Connexions, Private Sector	Health Improvement Plans, Health Needs Assessments, White Papers and Green Papers	Health service boundaries are not always an exact fit for borough boundaries.
Theme 3 Leisure, Recreation, community & voluntary	Recreation Services (Council), Parks Services and Open Spaces, Sports Development Officers LSP/CEN (Community Empowerment Network)	Council strategies (e.g. open space, tourism, sports, regeneration), PPG17, Cultural strategy Community Plan COMPACTs	Different service areas have differing status across boroughs. CEN's in early stage – infrastructure mature enough to deliver effective engagement? Varying status of COMPACTs
Theme 4: Police & Essential & Emergency Services	Home Office, Metropolitan Police Authority, London Fire Brigade, London Ambulance Service	LAS Improvement Programme, LFB Corporate Plan	Working practices, IT systems

- 5.2.4. Whilst it is important to engage with stakeholders across the broad range of themes, there will also be a range of additional stakeholders who may be involved across several service areas or other related activities. These will include planning & regeneration agencies such as the Greater London Authority (GLA), London Development Agency (LDA), Thames Gateway London Partnership (TGLP), London Thames Gateway Development Corporation (LTGDC), Commission for Architecture & the Built Environment, (CABE), Government Office for London (GoL) and local partnerships who will also need to be engaged as they will all have roles to play in taking forward the Local SIF into the future.
- 5.2.5. It will be important to ensure that existing stakeholder engagement structures are understood and capitalised upon where possible. LSPs are now established across the London Thames Gateway area and all are charged with promoting the social and economic well being of their local communities. The LSPs are the obvious means by which both stakeholders and the wider community can be involved in the planning of social infrastructure across the London Thames Gateway. CEN (Voluntary & Community service providers) and sub groups of the LSP e.g. CPAGs (Community Plan Action Groups) will also need to be considered.
- 5.2.6. It will also be important to understand the potential obstacles and limitations to achieving effective engagement. This may include issues such as resource constraints, variable geographic coverage, the 'maturity' of partnership arrangements and the relevant decision making powers.
- 5.2.7. In addition, given the timescales involved in evolving and taking forward the Local SIF, constraints may emerge associated with the availability of key stakeholders and consultees during the study process. These constraints and risks may be mitigated to some extent by being able to draw upon the support of the LTG-SIF Steering group and other partners in encouraging relevant Consultees to fully participate.
- 5.2.8. In terms of the actual approach to engagement, it is important to ensure that a broad cross-discipline approach to investigating the issues and opportunities is adopted, therefore mixing different service areas to move away from discussions that may get too fixed upon single topic issues (working in the 'silomentality'), and ensuring different agencies can work together.
- 5.2.9. At this stage it is particularly important to engage with those structures that are already in place within the Local SIF i.e. relevant LSPs, Area Directors (or equivalent), as well as service heads within the Local Authorities, PCTs, etc.

- 5.2.10. In relation to Local SIF areas across the London Thames Gateway it will be important to consider the local LSP structures, in particular in relation to achieving appropriate engagement with service policy makers and service deliverers. In particular, within the LSPs, it will be appropriate to tap into the ongoing series of meetings and events held by the relevant structures, such as those relevant to:
- Learning, Achievement and Leisure (education, and leisure/recreation related service providers)
 - Living Well (health and care related service providers)
 - Living Safely (safety and security related service providers).
- 5.2.11. The stakeholder engagement process will need to be strongly lead and fully transparent to ensure that all parties buy-in to the process and that the discussions are not side-tracked into inappropriate or unnecessary topic areas.

5.3. **OUTLINE APPROACH TO COMMUNITY ENGAGEMENT**

- 5.3.1. The approach to **Community** Engagement has been considered of most relevance to the formulation of project proposals at the Local SIF level, and will therefore be relevant to service delivery advocated through the stakeholder engagement process.
- 5.3.2. The importance of community involvement in decision making in relation to services that affect people's lives has been highlighted through a series of current and emerging policy papers, in particular in relation to bringing forward the Sustainable Communities agenda, and ensuring that people have an appropriate voice in the planning of their communities.
- 5.3.3. Having said this, it will be important to recognise that the appropriate approach to community engagement is complicated by a number of key factors, including:
- The timing and outcomes of the engagement process. It is important that community engagement is undertaken at the most appropriate time in the process, and that the objectives are clear in terms of how the outputs would be incorporated into the consideration of service delivery at the local level. For engagement to be meaningful, it will be crucial that all those involved understand the importance of their involvement, and that this engagement is incorporated as part of formal decision making processes at the appropriate time;
 - The engagement would need to ensure that the context and content of consultation is focussed upon the role and purpose of the Local SIF, and does not get drawn into detailed topic/theme specific issues in relation to the existing nature of service delivery. This could detract from the core purpose of the Framework, which is to bring forward the most effective and efficient forms of service delivery. The Framework whilst recognising and appreciating wider issues, is not being taken forward to address historical problems or wider political debates relating to service delivery.
 - The engagement would need to address issues relating to both 'existing' and 'new' social infrastructure needs relating to a population introduced into the area through residential growth. As such, consulting with existing communities may not fully address the needs of a new incoming population, which may differ radically in profile and need to that which may currently exist;
 - The engagement would also need to address issues relating to hard-to-reach groups, in particular in terms of those types of facilities such as education, health and social care, whose services are more likely to be orientated towards delivering specific services and activities for the benefit of socially excluded groups. The approach would need to go beyond a merely representative approach, and encompass meaningful engagement with all affected groups.
- 5.3.4. Of fundamental importance will be the issue of timing in terms of actually implementing the outcomes of the Local SIF process, as it is likely that across many of the areas, population growth would occur steadily over a medium to long period of time. In light of changes in relation to policy and practice, as well as in terms of population tastes and needs, the detailed review of the specific activities that would be likely to occur within the confines of certain new social infrastructure facilities would need to be an ongoing process, subject to continual review. Formal decision making in terms of specific content would only occur as delivery needs are actually confirmed in tandem with growth being implemented.

- 5.3.5. As such the approach to community engagement as part of the Local SIF studies is anticipated to be relatively light, but with the expectation that it would need further more detailed engagement into the future.
- 5.3.6. The approach to community engagement will need to consider carefully how to address local community concerns related to incoming new residents and a perception that these new populations would be served by high quality, modern social infrastructure while services for existing communities may be neglected.
- 5.3.7. In relation to bringing forward the Local SIF studies, the what, who and how issues are addressed below.

What should be engaged upon.

- 5.3.8. Of key importance during the local engagement process will be establishing the scope of services that will be required at a local level and investigating community views in relation to the most effective methods to deliver them.
- 5.3.9. In terms of the scope of outputs and the extent to which the views of community members and groups will influence the actual content of the Local SIFs, it is important to establish at the outset how the results of the engagement would be used to inform the outcome. It is likely that a range of different views and objectives would be obtained through the engagement process, some of which may conflict, and some of which will prioritise different topics.
- 5.3.10. The Local SIFs will need to present alternatives and be flexible enough in output terms to respond to competing objectives that may arise, leaving it open for alternative ways forward as and when the Local SIFs are actually implemented at a local level.
- 5.3.11. The Local SIF process is likely to be the first stage of a long process before actually delivering services on the ground and as such it should be recognised that any community engagement undertaken would need to be kept relatively high level at this preliminary stage, with further more refined engagement required as services/facilities are scoped out in more detail through traditional/existing established stakeholder engagement strategies and processes. Discussions at this stage in the process would need to focus on concepts rather than defined solutions.

Who should be engaged with, and how would this be done

- 5.3.12. As outlined above, local structures and components of the LSP will already exist and should form the basis of the community engagement process for the Local SIFs. In addition, a range of groups representing the interests of residential communities should also be engaged at this stage. These organisations include:
- Housing Associations;
 - Multi-faith Groups;
 - Tenant/Community Forums;
 - Youth Councils;
 - Older People Support Groups
- 5.3.13. In addition to the groups above, it will also be crucial to ensure that the objectives of the Local SIF are drawn into existing community engagement and liaison structures set up by individual or groups of service providers, such as in terms of health and education.
- 5.3.14. The overall approach to community engagement should be to utilise existing structures wherever possible rather than duplicate approaches, which may belittle the importance of the engagement and disillusion potential participants through engagement overload.

Barriers to stakeholder involvement.

- 5.3.15. As has already been mentioned, it is also important to recognise that different groups will be subject to a series of potential problems and obstacles associated with community engagement Figure 5.3 illustrates some of these barriers and potential approaches that could be adopted to overcome them.

Figure 5.3 Issues and obstacles to effective community engagement

Potential Barriers to engagement	Possible Solution
<p>Difficulties with written Information (Literacy problems, learning disabilities, physical disabilities, unable to understand English.)</p>	<ul style="list-style-type: none"> • Telephone questionnaires. • Face to face surveys. • Focus Groups. • Provide accessible written information e.g. large font 12pt, avoid italics etc. • Information on audiotape. • Sign language translator. • Translated into a suitable language
<p>Intimidated or alienated by approach. (Communication/literacy problems put off by 'officialdom' of process hostility to official organizations, lack of confidence or self esteem.)</p>	<ul style="list-style-type: none"> • Consider using representatives who are already known and trusted by the target group. • Contact community representatives such as health workers or teachers. • Choose language carefully and explain clearly that individual views do matter and that there are no wrong or right answers Choose familiar location (i.e. local community centre, pub, etc.)
<p>Can't access meeting venue. (No transport available, lack of adequate child care, cannot physically access the venue, fear of going out after dark or alone, timing makes attendance difficult or impossible.)</p>	<ul style="list-style-type: none"> • Plan meetings in accessible locations. • Choose a location where public transport and parking are easily accessible. • Consider covering people's expenses / providing transport / providing childcare. • Check that the venue meets Disability Discrimination Act (DDA) requirements. • Plan the event around the needs of the group. • Check that events do not coincide with religious or nonreligious festivals. • Consider inviting people to more than one event.
<p>Lack of time or resources. (Busy working families/ lone parents poorly funded community / voluntary groups.)</p>	<ul style="list-style-type: none"> • Go to respondents directly e.g. parent and toddler groups outside school gates etc. • Try to reduce the time it takes to participate in the consultation as many respondents may be volunteers with little time to spare.

- 5.3.16. It will be necessary for each Local SIF to investigate the baseline and future context of the area being studied, both in terms of the existing population and demographic base, projected changes to this over time, and the characteristics and scale of new population growth (and the associated demographic make up of this growth). This will enable consideration to be given to the nature of community engagement that would be required and the appropriate groups that would need to be involved, to ensure that the consideration of service needs are tailored to the needs of the projected demographics.
- 5.3.17. Once this has been identified, it will then be necessary to select an appropriate approach drawing upon the range of measures identified in Appendix A5 of this document, as it is likely that a range of different approaches would be required to address the various needs of the baseline context. It is at this stage that existing structures (such as the LSP) would need to be investigated to test how they then 'fit' with the community that needs to be engaged with.

5.4. CONSIDERING WORKFORCE ISSUES

- 5.4.1. The LTG-SIF has broad objectives to address wider issues around the creation of healthy, successful and sustainable local communities and economies across the London Thames Gateway. As part of this, the

Local SIFs also need to consider how best to use social infrastructure delivery to achieve local economic development objectives and vice versa.

- 5.4.2. In order to be able to respond to the diverse needs of local communities and create healthy and sustainable communities & economies, issues surrounding future economic development and the demand for an integrated workforce across the social infrastructure sectors, as well as methods and models to develop integrated workforce planning would also need to be addressed during the process of evolving and testing solutions. Further information relating to the context of workforce planning is contained in Appendix A2 of this document.
- 5.4.3. It is important to recognise that the overarching context within which workforce planning, development and the promotion of local economic development initiatives across the London Thames Gateway is highly complex and many organisations are involved in ensuring that appropriate workforce and economic development strategies are in place to guide future human resources needs into the future. It is not the purpose of the LTG-SIF or Local SIFs to review the wide body of work that is ongoing across this topic area, but it does introduce some of the key parameters and principles that deliverers will need to reflect in their wider workforce and economic development activities

Workforce: Key parameters & principles

- 5.4.4. Based upon an initial review of workforce and local economic development issues (as illustrated in Appendix A2), it will be important for social infrastructure service planners and deliverers to ensure that the implications brought about through delivering the Local SIFs are fully embedded into wider workforce planning and local economic development initiatives.
- 5.4.5. It is clear that workforce planning across the various social infrastructure sectors will come under increasing pressure as the demographics of the working population continues to evolve. It will therefore be crucial for the various stakeholders to come together as part of the process, and that they adopt a set of core parameters and principles when evolving their own workforce and local economic development initiatives, which include:
- Considering and prioritising the workforce and local economic development impacts related to the planning for new and improved social infrastructure services and facilities across neighbourhoods throughout the London Thames Gateway;
 - Ensuring that planning the workforce 'capacity' is not simply more staff, but about opening up opportunities to use resources in new ways, outside of traditional job roles and responsibilities.
 - Where services can be delivered in a co-ordinated or joint manner, to ensure that collaborative working is achieved across the public sector and with linked organisations across different sectors.
 - Providing high quality working environments in locations that are accessible and welcoming and are convenient for both users and employees;
 - Developing staff within a clear career framework across a range of disciplines
 - Embedding the best or 'model' employment practices still further.

6. Toolkit Module 4: Identifying the Approach to Delivery

6.1. INTRODUCTION

6.1.1. The final module of this Toolkit considers existing delivery mechanisms that are currently available, and new delivery mechanisms that could be introduced, to deal with the question of how modern forms of social infrastructure could be delivered across the London Thames Gateway.

6.1.2. No one type of delivery mechanism (whether existing or new) will be flexible enough to be a “one size fits all” solution to the provision of social infrastructure in every locality and region. This Chapter, therefore, suggests a number of different solutions. Which one will be the most appropriate in any particular set of circumstances, will depend on the answer to a number of key questions which must be considered in relation to any area where social infrastructure needs to be procured.

6.1.3. The key outcomes from Module 4 are, therefore, illustrated in Figure 6.1 below.

6.1.4. Figure 6.1: Module 4 Outcomes

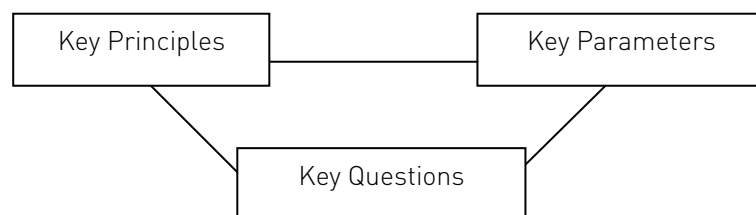
- Understand the fundamental concepts underlying all successful delivery mechanisms;
- Consider possible delivery options; and
- Arrive at the most appropriate solution.

6.1.5. Appendix A5 accompanying this Toolkit provides more detailed information relating to the types of delivery vehicles, and the way in which social infrastructure is currently delivered across the health, social care, education, recreation & leisure, and emergency services sectors.

6.2. THE FUNDAMENTAL CONCEPTS UNDERLYING SUCCESSFUL DELIVERY MECHANISMS

6.2.1. There are three strands which comprise the key concepts, as illustrated by the following diagram.

Figure 6.2: Three Delivery Strands



6.2.2. This section needs to be read in conjunction with the Barriers and Hurdles report as a number of the barriers and hurdles which relate to delivery mechanisms are picked up on and expanded in this section.

Key Principles

6.2.3. In attempting to propose delivery mechanisms for the provision of social infrastructure, a number of key principles must be adhered to.

Deliverability

- 6.2.4. In setting out the process by which stakeholders can understand how social infrastructure is and can be delivered, it is essential that any solution is deliverable. One of the underlying reasons why it has been historically difficult to achieve joined-up delivery of social infrastructure is the multiplicity of stakeholders working across numerous different organisations and sectors. Whatever delivery mechanism is used, it must find a way of combining the need to achieve buy in from all interested stakeholders, but at the same time be streamlined enough with effective decision making processes to enable delivery to happen in a planned and timely manner.

Value for Money

- 6.2.5. It is a fundamental tenet for public sector stakeholders that value for money must be demonstrated at every level. This might be in connection with land sales, purchases, procurement of new buildings, set up costs to name a few.

Affordability

- 6.2.6. Regardless of value for money, any delivery mechanism must be affordable to the public sector where the public sector is paying for the future use of facilities, but must be attractive enough to the private sector (to the extent of any private sector involvement) to encourage risk sharing and investment by the private sector.

Markets

- 6.2.7. The principle of competition within public social infrastructure providers is key to the Treasury's approach to public intervention both to drive down costs and increase quality. New "market" solutions are emerging the extent to which providers are incentivised to work together and develop more efficient social infrastructure provision will be key.

Clarity

- 6.2.8. Any delivery mechanism must provide a clear structural framework within which the necessary social infrastructure can be delivered.

Flexibility

- 6.2.9. Delivery mechanisms must be clear enough to enable all stakeholders to understand the structure within which they are working, but they must also be flexible enough to account for a change in circumstances, particularly if the delivery mechanism is intended to operate over a period of time rather than in relation to a one-off scheme.

The parameters for delivery

Services v Facilities

- 6.2.10. In practice, a Local SIF will provide the basis for the delivery of physical infrastructure – bricks and mortar. Buildings have to be "fit for purpose" but the structure of effective service delivery is continually under government review..
- 6.2.11. For example, in the health sector the cost of providing care within acute settings has led the Government to seek to achieve a primary care led NHS where as much care as possible is provided in (cheaper) primary and community settings. Although this has meant a need to make a step change in the provision of primary and community health and social care (and this is what the NHS Lift initiative has primarily been intended to achieve), it has also led to a better understanding of how care can be provided in the community without the need for patients to attend health centres and community hospitals.
- 6.2.12. Some examples of this are the growth in telemedicine where patients are able to obtain medical advice in the home. Another example is the provision of mobile facilities. The drive by the Government to

providing patients with choice has gone hand in hand with the need to increase capacity in the market. Albeit still providing healthcare “free at the point of delivery” this has been principally achieved by harnessing private sector providers to provide care on behalf of the NHS. However, as such providers normally enter into service contracts with the NHS for periods of no more than five years, there is no desire on the private sector to deliver the services from newly built facilities when they may not be required after the end of the initial service contract. This has led to some private sector providers providing these services in high tech mobile facilities which “dock” into existing infrastructure to provide additional services in the community as and when they are needed without the need for new bricks and mortar.

- 6.2.13. This is just one example. However, it is illustrative of the need to understand when looking at the delivery of social infrastructure the extent to which the desired outputs are infrastructure as opposed to service driven.

Social Infrastructure v Other Infrastructure

- 6.2.14. This Toolkit looks at the provision of social infrastructure which for these purposes means health and social care; education; recreation and leisure and emergency/essential services. Clearly, the need for social infrastructure is dependent in part on increased and better housing; on appropriate transport infrastructure being in place; and on access to training and jobs. This Toolkit does not examine the ways in which housing and transport infrastructure can be delivered as part of a Local SIF, but any solutions in relation to delivery mechanisms must be flexible enough to take into account the extent and timing of, in particular, road, rail, bus and other public transport links.
- 6.2.15. More fundamentally, because the government is placing considerable importance on “new” communities being both sustainable in their own right and contributing to the improvement of conditions in adjoining deprived communities (particularly in the London Thames Gateway), links with housing provision are inevitable. Links with the statutory planning process at regional, sub-regional and LDF/Action Area levels and in the consideration of planning applications must be strengthened especially as the policy links between housing and planning become stronger.

Integration v Co-ordination

- 6.2.16. A Local SIF does not, of course, necessarily assume that the range of services must all be delivered in an integrated facility. The overriding principle of deliverability may mean that a health and leisure facility delivered separately to a new school may be the right solution for a particular area.
- 6.2.17. However, integration can have two clear benefits.
- First, integration can actually improve service outcomes as a result of better integration. For example, integrated health and leisure schemes, such as the Burnley Town Centre Project, can enable GPs to utilise the integrated leisure facilities to prescribe more easily exercise and healthier lifestyles.
 - Secondly, co-location can significantly increase the access to services (such as healthcare) of groups who, for example, visit recreational facilities where these are co-located with facilities which provide health advice.
- 6.2.18. It is also important to acknowledge that integration does not necessarily mean an equal split in the use of an integrated facility by different service sectors. A help desk manned by the police in a leisure centre; specialised facilities for ambulances to access new health centres; the ability of social services to access schools, community centres or health centres can all make crucial improvements to the way in which services across the health, education, leisure and emergency sectors are provided without the need in all cases for complex or expensive joint working arrangements by the “minority” party.
- 6.2.19. Integration, therefore, can have clear benefits but must always be a means to an end of improved service provision and not the end in itself.

Public v Private Funding

- 6.2.20. The successful delivery of social infrastructure will require both public and private funding. The precise way in which this funding (whether capital or revenue) is utilised will be crucial in determining the success of any particular delivery mechanism.
- 6.2.21. However, consideration must be given to the delivery of social infrastructure through purely publicly or purely privately funded services.
- 6.2.22. In relation to “pure” public funding, the reality is that there simply is a limited amount of Exchequer funding that is available in any of the health, social care, education, leisure and emergency service sectors. Where Exchequer funding is available in two or more of the sectors, for example, for a police station and leisure facility then the favoured “delivery mechanism” is likely to be simply ensuring that the two public sector organisations pool their Exchequer funding to enable an integrated facility to be built.
- 6.2.23. In practice, even where Exchequer funding is available for one or more of the service sectors, it is likely that the service sector with public funding may want to deliver an integrated facility with another public sector organisation which does not have Exchequer funding available, in which case the challenge will be to utilise the exchequer funding in a wider PPP arrangement.
- 6.2.24. Exchequer funding also has the disadvantages that it often goes hand in hand with long term maintenance by the public sector which, of course, has in the past proved to be a major obstacle to the long term delivery of high quality public sector infrastructure.
- 6.2.25. Also, as a building is constructed with exchequer funding it is likely to be on the relevant public sector organisation’s balance sheet and this may cause issues with affordability.
- 6.2.26. In practice, therefore, even where Exchequer funding is available it is likely needed to be combined within a wider integrated approach. However, where appropriate the existence of exchequer funding might enable some elements of projects to be delivered more easily.
- 6.2.27. As regards “pure” private sector funding, the extent to which infrastructure can be paid for and maintained wholly out of private funding is likely to be limited. Examples may be independent fee paying schools operating a selection policy or a private hospital or facility (not carrying out its services on behalf of the NHS). Nor should it be forgotten that much of the social care infrastructure in the country is privately financed and funded out of residents’ private income without recourse to Government funding.
- 6.2.28. Such developments and facilities could have an important role to play in a Local SIF, but the main thrust of this Toolkit will be to focus on the extent to which the public sector is obliged to provide adequate social infrastructure and, inevitably, the extent (both to a greater or lesser degree) to which such infrastructure is funded by the private sector.

Future Proofing

- 6.2.29. One of the great challenges of a Local SIF is to deliver facilities that are flexible enough to adapt to future changes in service needs and to enable land or buildings in appropriate locations to be used for future needs.
- 6.2.30. This is, of course, easier said than done. Regardless of how facilities are procured, whether through public or private funding, the difficulty of ensuring that the building can be adapted in the future remains.
- 6.2.31. Ideally, of course, the public sector would get the private sector to build new facilities which the public sector is required to commit to occupying for a short enough period to allow a reduction in its presence or a move to new facilities if service demands so require.
- 6.2.32. Inevitably, however, such flexibility has in the past come at a price which has led to projects being unaffordable as, in effect, the public sector pays for the risk of its leaving the private sector with a building that there is no alternative use for.
- 6.2.33. There is a move towards an acceptance by the private sector that they cannot in the future expect 25 year plus concessionary agreements from the public sector and that the private sector must become more adept at building facilities which are flexible enough to be used for non public sector purposes in the

event that service needs change. However, this change is by no means universal and the banks that fund the private sector are particularly cautious with respect to this type of risk sharing.

- 6.2.34. Nonetheless, a “framework” agreement which on the one hand is viable for a relatively short period of time but provides for some sharing of risk with the public sector to allow future needs to be resolved with the private partner may provide a solution.

Delivering at the Right Level

- 6.2.35. The type of delivery mechanism that any one particular scheme requires could be at a number of different “levels”.
- 6.2.36. In practice, determining the right delivery mechanism is a decision made at project level and to a lesser extent at stakeholder level. For example, a fire authority, a local authority and primary care trust may have made decisions about what type of facility is required and are looking for a contractual structure which will deliver the intended facilities. However, it may, in some circumstances, be the case that there are existing delivery mechanisms in place (for example, Building Schools for the Future) which the parties may wish to use to deliver an integrated facility, but which for, say, policy reasons cannot be so used. In these circumstances the “delivery mechanism” may be an understanding that some kind of legislative, regulatory or policy change is needed at a strategic/planning level.
- 6.2.37. A delivery mechanism may be needed at a stakeholder level only. For example, a police authority and local authority may have public funding to construct a new facility, but need a mechanism by which a joint working arrangement can be put in place to deal with how the facility is to be procured, funded, resourced and occupied in the future.
- 6.2.38. In practice, the majority of delivery mechanisms will be decided on a scheme by scheme basis at a project level, on the basis that the delivery mechanism will have to fit into whatever the existing strategic, planning and regulatory environment is. Whether this is the best way to effect a step change in the provision of social infrastructure across the London Thames Gateway remains to be seen.

How is the provision of Social Infrastructure to be funded?

- 6.2.39. It is certainly true that the way in which social infrastructure is funded is fundamental to its successful delivery. Issues around funding exist at a number of levels: does the public sector have Exchequer funding for the construction of new facilities? If not, does the public sector have funding for the procurement and use of new facilities funded by private capital? It is not just the funding of new infrastructure, of course, but funding is needed for the actual delivery of the services in the new facilities. To what extent can the use of grant monies assist in procuring social infrastructure? To what extent are there problems with utilising grant monies and other funding from Government departments without affecting the funding from other Government sources?
- 6.2.40. Key to a successful strategy will be an understanding of how best to use planning contributions from new developments whether under the existing Section 106 regime or under the new Planning Gain Supplement provisions recently announced by the Chancellor. Historically, Section 106 Agreements have provided various types of social infrastructure facilities as part of the planning gain for the provision of planning consent on large sites. This has had two principal drawbacks. The first is that such facilities have usually been negotiated on an ad hoc basis without regard to an overall plan for the provision of social infrastructure in a locality. In addition, such facilities have usually been “single sector” rather than through a strategic approach which might include the provision of integrated facilities.
- 6.2.41. The second principal drawback has been the inability of the Section 106 regime effectively to enable the provision of social infrastructure in connection with the development of smaller sites where the capital land value is insufficient to justify anything more than, say, a contribution towards affordable housing.
- 6.2.42. The Government’s new Planning Gain Supplement may well provide a means by which a more integrated approach to obtaining funding for the provision of social infrastructure across a large locality can be achieved. Some of the delivery mechanism solutions proposed within this Chapter will assume that central funding through the Planning Gain Supplement can be accessed for the provision of social infrastructure.

- 6.2.43. The other key aspect of how an integrated social infrastructure scheme is funded is the ongoing maintenance of the facilities and common areas. Finding means to ensure that there is a revenue flow to ensure that facilities are properly maintained (other than where they are maintained by the private sector as part of a lease or maintenance arrangement) will be fundamental. NHS Lift and Building Schools for the Future models provide an example of how this can be achieved.

Key Questions

- 6.2.44. The following six issues are among the most important to be addressed when deciding on a delivery mechanism.

Leadership and Resources

- 6.2.45. In most public/private sector partnerships there is only one public sector organisation and it is clear which public sector organisation is leading the scheme; which public sector organisation is going to be occupying and paying for the new facilities; who is responsible for making decisions; who is responsible for putting sufficient resources in place to procure the scheme etc. Large complex PFI schemes with a capital value of hundreds of millions of pounds have their own complexities but in one respect they have an advantage over much smaller multi stakeholder schemes in that the private sector PFI provider has a only one public sector organisation, generally, to deal with and that public sector organisation understands that it alone has to resource and take responsibility for the scheme.
- 6.2.46. The position is, of course, different in multi stakeholder integrated schemes, particularly where the services being provided and/or space being taken by the relevant public sector organisations is roughly equivalent. An example may be an integrated health and leisure facility where each occupier is approximately half of the overall building.
- 6.2.47. Clarity around leadership and ensuring that the lead body has responsibility and accountability for the project and the resources and powers to deliver it, is essential when determining a delivery mechanism.
- 6.2.48. In relation to complex regeneration schemes where the provision of social infrastructure is combined with other types of commercial structure and housing, it may be necessary to formalise a working relationship between the various public sector stakeholder bodies through a stakeholder agreement which sets out the roles and responsibilities of each of the public sector organisations; how decisions will be made; and who the lead organisation should be which takes the principal role in dealing with the private sector. Issues around cost and resource would also have to be dealt with.

Funding

- 6.2.49. This is clearly a fundamental issue and covers a number of different aspects.
- Firstly, if one of the joint venture vehicles referred to in Part 1 of Appendix A6 is proposed as part of the intended delivery mechanism, a decision will need to be made whether the joint venture vehicle is intended to be a profit making venture or not-for-profit. Where the private sector takes a majority shareholding in the joint venture corporate vehicle (along the lines of the Building Schools for the Future and NHS Lift initiatives) then it is likely that a profit making vehicle will be required, albeit that restrictions may be imposed in the memorandum and articles of the joint venture vehicle restricting the nature of the commercial activities that can be carried on.
 - Secondly, if a profit making venture is intended, consideration will need to be given as to how profits are generated and more importantly how they are distributed. It may be important to impose restrictions on the distribution of dividends in certain circumstances.
 - Thirdly, if the facility is being constructed or refurbished through public funding, are sufficient capital monies going to be made available? If grant funding is to be utilised, are there any time limits on when the monies can be accessed? There may also be detailed provisions relating to the repayment of such grant monies in circumstances where the project does not proceed or comes to an end earlier than expected.

- 6.2.50. Lastly, if the scheme is to be revenue funded by the public sector, (as with all PFI arrangements) or partly revenue and capital funded, (for example, a leisure management contract type structure) then issues of affordability for the public sector in relation to the long term revenue implications of taking space in the facility will be paramount.

Ownership and Governance

- 6.2.51. If a jointly owned public/private vehicle is intended, then it will be essential to think through whether the public sector will have a majority or minority interest. If a minority stake, what governance issues would this raise for the public sector? How will decisions be made in relation to the jointly owned vehicle? In the NHS Lift initiative, one of the key documents is the shareholder agreement for the jointly owned corporate vehicle which sets out in detail what decisions need the specific consent of the minority public sector shareholder. In this way, the contractual documentation gives a level of control to the minority (NHS) public sector stakeholder beyond what would normally be expected in other joint venture type arrangements.

Vires

- 6.2.52. This links in to issues around ownership and governance. Jointly procured delivery mechanisms can raise issues around the vires of the public sector body to enter into such arrangements
- 6.2.53. There are a number of areas where this could be the case.
- Firstly, the public sector organisations need to be clear that they have the basic powers to enter into the proposed contractual documentation. This may be the case if the proposed arrangements go beyond delivering the relevant public sector organisations basic functions. For example, if a local authority is procuring a new school and is intending to incorporate a significant health facility within the scheme, does this fall within the powers of the local authority?
 - Secondly, any scheme that is procured will need to comply with European procurement regulations. This is a complex area which will need to be considered very carefully at the outset as the European Commission is particularly aware of procurement issues arising out of “framework” arrangements. Ensuring any delivery mechanism fully complies with EU regulations will be essential.
 - Lastly, will the proposed delivery mechanism raise issues around state aid and competition regulations?

Risk and Reward

- 6.2.54. This will be one of the most important factors in determining the type of delivery mechanism.
- 6.2.55. At one end of the spectrum are simple contractual arrangements between public sector organisations and building contractors where the public sector organisation uses public funds to procure a new facility. Although this is usually a quicker and cheaper procurement option, most of the risk of construction delays, maintenance problems etc remains with the public sector and the asset is likely to be on the public sector planning sheet.
- 6.2.56. At the other end of the spectrum are complex PFI procurements where the contractual documentation is structured specifically to ensure that sufficient risk is transferred to the private sector to ensure that the asset is off the public sector balance sheet. Risks relating to construction and long term maintenance are passed to the private sector, but this, of course, is reflected in the unitary charge paid by the public sector.

Duration

- 6.2.57. Most social infrastructure schemes (whether single sector or integrated) are procured on a “one-off” basis. The delivery mechanism achieves a new facility but does not attempt to look at how future schemes could be procured.

6.2.58. The benefits of combining a number of schemes together have long been recognised. Procurement costs are reduced and the possibility of private sector having additional developments to work on without going through a separate tender exercise can lead to value for money improvements, although this has to be set against the greater complexity of the scheme and the need to ensure that any EU procurement regulations are complied with.

6.2.59. Initiatives such as Building Schools for the Future and NHS Lift were specifically designed to set up a contractual structure at the outset which enables the selected private sector partner to deliver future schemes quickly and efficiently without the need for a separate procurement exercise each time. In the context of the regeneration of the London Thames Gateway, this could be an important and beneficial factor.

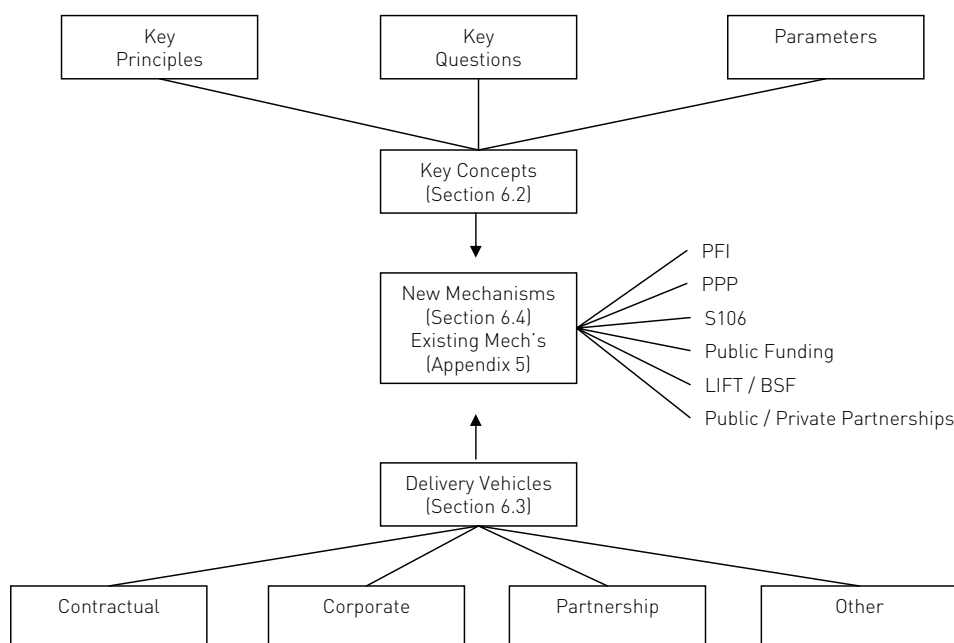
6.3. POSSIBLE DELIVERY OPTIONS

6.3.1. This section (and Parts 1 and 2 of Appendix A5) describe the types of delivery vehicles that are available where one organisation wishes to achieve a common goal in a joint arrangement with other organisations; and describe how social infrastructure is currently delivered across the health, education, social care, leisure and emergency services sectors.

- Part 1 of Appendix A5 sets out a summary of the types of delivery vehicle and the benefits and disadvantages of each vehicle
- Part 2 of Appendix A5 sets out a description of how social infrastructure is delivered across the health, education, social care, leisure and emergency services sectors together with summaries of the benefits and disadvantages of each approach.

6.3.2. Figure 6.3 illustrates the types of delivery vehicles and existing delivery mechanisms that are described further in the Appendices, and shows how they 'fit' within the overall picture of service delivery.

Figure 6.3: Delivery Vehicles



6.4. ARRIVING AT THE MOST APPROPRIATE DELIVERY MECHANISM SOLUTION

6.4.1. Two themes have run through this chapter. Firstly, that there is no "one size fits all" solution to how social infrastructure must be delivered. Secondly, delivery mechanism solutions can potentially work at a number of different levels. This section looks at a number of different delivery mechanism solutions and how each one operates at each of the strategic, stakeholder and project levels.

6.4.2. Four delivery mechanism solutions are considered in this section.

- First, a “**Strategic**” approach. This is based on BSF-type principles of maintaining flexibility of specific delivery mechanism options together with a formalised joint working arrangement between public sector organisations at stakeholder level, and with the preferred private sector partner through a strategic partnering agreement.
- The second proposed delivery mechanism solution is the “**Stakeholder Agreement**” approach. This takes one aspect of the Strategic approach referred to above and may be suitable where the full Strategic solution is not desirable or deliverable but a more formalised working relationship between public sector social infrastructure stakeholders is needed to deliver real change.
- The third delivery mechanism solution is the “**Partnering**” approach. Again, this utilises one aspect of the Strategic approach – namely the strategic partnering agreement. This may be suitable where there is a single (or possibly joint) stakeholder, who has a specific type of scheme it wishes to deliver across the Thames Gateway, without necessarily needing to involve other stakeholders and without the need to set up a joint venture vehicle.
- The last type of approach is the “**Project Level**” approach. There are a number of circumstances where appropriate delivery mechanisms are already in place, but they cannot be utilised for quite specific reasons; for example, because a policy change; regulatory amendment or a change to funding rules is needed.

6.4.3. The Strategic approach and Stakeholder approaches are principally relevant at the strategic and stakeholder levels. The Partnering and Project Level approaches are aimed more at the project level.

6.4.4. Each of these proposed delivery mechanisms addresses a number of the barriers and hurdles identified in the Barriers and Hurdles exercise and takes into account the key concepts outlined in section 6.2. The specific “Advantages and Disadvantages” of each proposed Delivery Mechanism are set out below.

Strategic Approach

6.4.5. The Strategic approach is a Building Schools for the Future type public/private partnership which combines a genuine joint venture between the public sector stakeholders and a selected private sector partner, in which both the public and private sector benefit from the rewards of developing the social infrastructure in the Thames Gateway. It is combined with the flexibility of being able to choose whatever specific delivery mechanism is appropriate for each individual development, whether a stand-alone health, education, leisure or emergency service project or an integrated scheme in involving one or more of these sectors.

6.4.6. The proposed contractual structure is illustrated by the four diagrams attached as Appendix 2. Dealing with these in turn:

- Figure 6.4 shows the possible equity holding in a joint venture company SICO. It is proposed that this would mirror the NHS Lift and BSF approaches where by the public sector stakeholders take a minority shareholding, but there is no reason why this could not be modified so that the respective stakeholdings are 50:50.
- Figure 6.5 sets out in more detail the nature of the arrangement between the public sector stakeholders, detailing the issues that would need to be dealt with in a stakeholder agreement. This is discussed in more detail in relation to the Stakeholder Agreement approach referred to below.
- Figure 6.6 sets out the principal issues to be dealt with in a strategic partnering agreement between the public sector stakeholders and SICO. These will include the duration of the agreement; its objectives; issues around risk and reward and termination issues.
- Lastly, Figure 6.7 sets out the types of specific delivery mechanism that could be entered into by SICO with the relevant public sector stakeholder.

6.4.7. The advantages of this Strategic approach are:

- It deals comprehensively with the provision of social infrastructure

- It sets out a clear framework for delivery whilst retaining the flexibility of different types of delivery mechanism
- It enables the public sector to share in the rewards of new social infrastructure development
- once established, future procurements will be faster and more cost effective

6.4.8. Possible disadvantages are::

- it is more complex and therefore more time consuming to put in place
- it would need to ensure "fit" with the BSF and NHS Lift initiatives
- there may be legal and regulatory vires issues
- the breadth of the proposed procurement may cause issues with EU procurement and competition regulations.

Figure 6.4: Equity holding in SICo

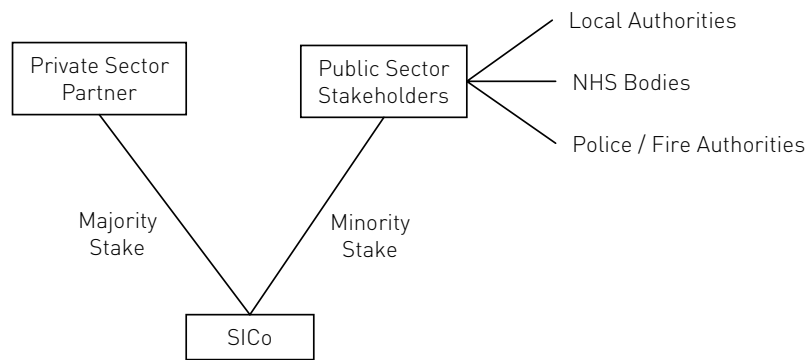


Figure 6.5: Public Sector Stakeholder Agreement

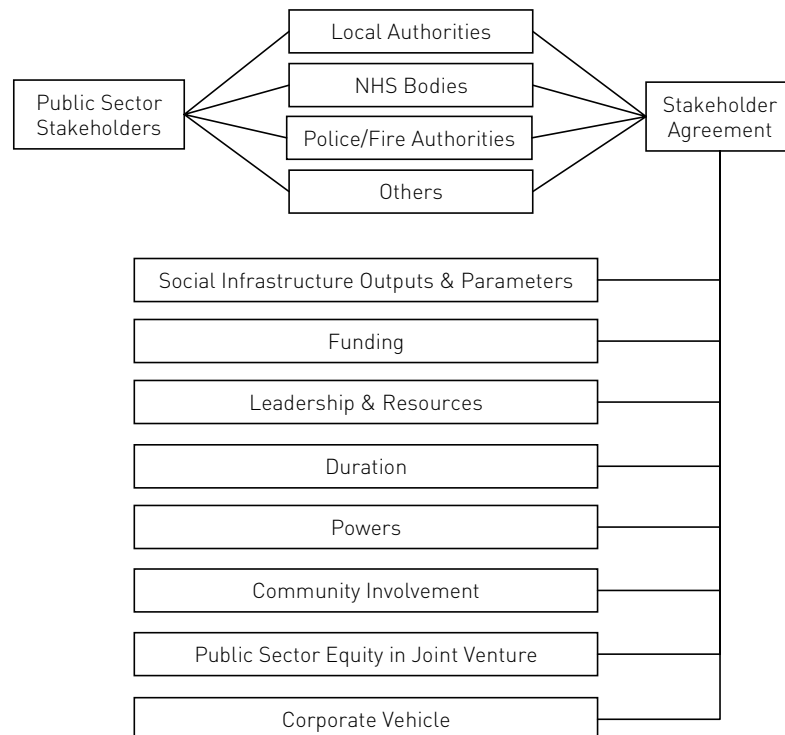


Figure 6.6 : Strategic Partnering Agreement

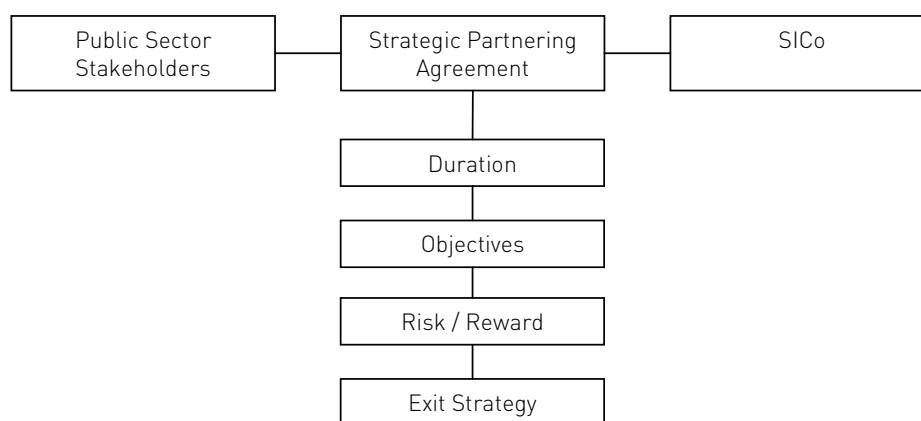
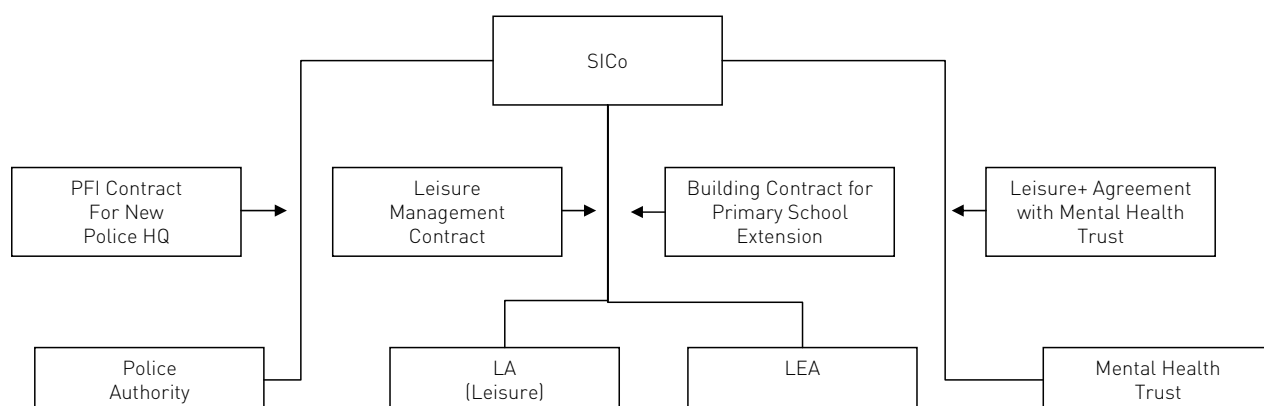


Figure 6.7: Types of Delivery Mechanisms



Stakeholder Agreement Approach

- 6.4.9. Part 3 of Appendix A5 contains the outline of a Stakeholders Agreement that could be appropriate for use in the Thames Gateway, either as part of the Strategic approach referred to above, or as a stand alone delivery mechanism. It sets out in detail the issues that need to be dealt with in taking such an Agreement forward.
- 6.4.10. The essence of such a Stakeholders Agreement is to set out a clear and flexible framework within which the Public Sector Social Infrastructure Stakeholders agree to work to delivering Social Infrastructure Schemes across the various sectors.
- 6.4.11. The diagrams and appendix set out the types of issues that such a Stakeholders Agreement would need to cover.
- 6.4.12. The key issues will be to set the basic outputs to be achieved and in particular to agree issues relating to leadership and resources and how the change in social infrastructure will be funded.
- 6.4.13. Issues such as dealing with specific types of individual delivery mechanism can also be dealt with as can the decision whether to make the public sector grouping into a formal corporate vehicle.
- 6.4.14. The benefits of the Stakeholders Agreement approach are:
 - it provides a clear basis upon which all relevant Stakeholders will resource and fund proposals to change Social Infrastructure in the Thames Gateway.

- it sets out clearly which public sector stakeholder will lead the project and how the grouping will be financed. It is suggested that some funding from the Section 106 contributions or the new Planning Gain Supplement might be an appropriate use of funds to resource this type of joint co-operative approach.
- it is simpler than the fully blown Strategic approach.
- it can be used in relation to the Thames Gateway wide region or smaller areas with specific Stakeholders.

6.4.15. The disadvantage of this approach are principally:

- that it needs to be combined with a clear approach to engaging the private sector and clarity as to how individual schemes are procured.

The Partnering Approach

6.4.16. One aspect of the Strategic approach that may be more appropriately utilised in isolation is the use of a Strategic Partnering Agreement without necessarily the need for a separate Stakeholders Agreement or the setting up of a joint venture agreement with a selected private sector party.

6.4.17. The partnering approach may best be used where there are one or two public sector stakeholders who have a number of specific types of social infrastructure schemes that they wish to deliver and a desire to save procurement costs by entering into a medium to long term arrangement with that private sector partner albeit one that is not formalised in a jointly owned joint venture corporate vehicle.

6.4.18. The benefits to such an approach are:

- it has potentially the specific benefits of a Strategic Partnering type agreement without the complexities of the Strategic approach and/or a Stakeholders Agreement.
- it saves on procurement costs by entering into a medium to long term arrangement with the private sector by which future schemes are benchmarked for value for money and affordability against the initial developments.

6.4.19. This approach would be particularly appropriate where there are a comparatively small number of public sector stakeholders involved in the type of development intended.

6.4.20. The disadvantage of such an approach are:

- it would not easily deal with the involvement of multiple public sector social infrastructure stakeholders in the absence of a Stakeholders Agreement.

Project Level Approach

6.4.21. The three approaches referred to above: Strategic, Stakeholders Agreement and Partnering approaches all involve new contractual structures and procurements.

6.4.22. It must be acknowledged that in some circumstances existing delivery mechanisms and partnering arrangements are potentially the most appropriate way of delivering new social infrastructure schemes.

6.4.23. However, sometimes (and this has been borne out by the Barriers and Hurdles at exercise) the inhibiting factors for successful delivery of social infrastructure can be comparatively minor or straight forward, technical, legal or regulatory issues.

6.4.24. For example, grant monies may theoretically be available to enable schemes to happen, but it transpires that the commercial nature of the proposed is such that such monies have to be repaid between Government departments. Another example is the exclusivity provisions in the NHS Lift and BSF initiatives. These inhibit the carrying out of joint health/leisure social infrastructure projects with other sectors as the selected private sector partner on the BSF and Lift schemes have rights of first refusal in relation to any relevant scheme.

- 6.4.25. In cases such as these what is needed is not a new delivery mechanism, but a strategy for addressing these types of barriers. This will often be at a strategic level, with identification of the issue and an understanding that its resolution is the most effective way forward being the first step.
- 6.4.26. The advantages of this approach are that it utilises existing given mechanisms thereby, in theory, speeding up delivery.
- 6.4.27. The main disadvantage is that such legal regulatory and other hurdles can be troublesome to overcome in the absence of high level Government decision making and in some cases legislative change.

Summary of Delivery Mechanisms Solutions

- 6.4.28. These are just four possible delivery mechanism solutions. In the first three cases they emphasise the need to focus on ways in which social infrastructure proposals can proceed in a clear and effective manner rather than utilising many uncoordinated types of procurement.
- 6.4.29. Nevertheless, each proposal for the delivery of social infrastructure will inevitably depend to a certain extent on the extent of the location which it relates to (whether Thames Gateway wide or more locally) and the specific circumstances of each case.

7. Taking Forward the Framework & Next Steps

7.1. INTRODUCTION

7.1.1. As has already been mentioned, the evolution of this Framework and its application at the Local level should be considered as only part of a much longer overall process to plan for and deliver effective social infrastructure across the London Thames Gateway.

7.1.2. At this stage in the development of the Framework the following targets have been achieved:

- Making the **Case for Social Infrastructure Planning**, explaining why it is so important for stakeholders at all levels to work together and deliver the right services in the right locations to help create Sustainable Communities across the London Thames Gateway;
- The creation of a **Toolkit** to guide the collection of data, the planning of social infrastructure associated with new development and a process for the selection of procurement and delivery mechanism.
- An exercise to research the **Hurdles and Barriers** to the delivery of social infrastructure which covers projects, organisational and management issues. It presents a review of problems and is based on actual projects, generic experience and published reports, and moves forward into potential ways to overcome them.

7.1.3. These exercises also exposed a number of key issues, including:

- The alignment of public policy and process, not necessarily its integration, but the management of appropriate interrelationships, is often non-existent or contradictory. This has created problems of clarity for participants and clients, mitigated against value for money and resulted in duplication of effort.
- Flexible solutions both in terms of physical design and concept evolutions will be required to address a likely future changing policy climate;
- The processes for engaging the community and individual clients in the social infrastructure delivery chain appears to be variable and inconsistent.
- For the private sector to be engaged effectively it would require either or both early public investment and risk share and a longer term partnership and risk and return arrangement.
- However whilst each situation offered different lessons there were many common opportunities to improve the process of delivering social infrastructure.

7.1.4. The application of the Framework will need to be taken forward by a range of stakeholders in light of these issues, working within the parameters and principles established in this Toolkit to guide service planning and delivery, and ensuring that the aspirations of the Framework as set out in the 'Case for Social Infrastructure Planning' document are achieved

7.2. INTRODUCING THE 'DELIVERY CHAIN'

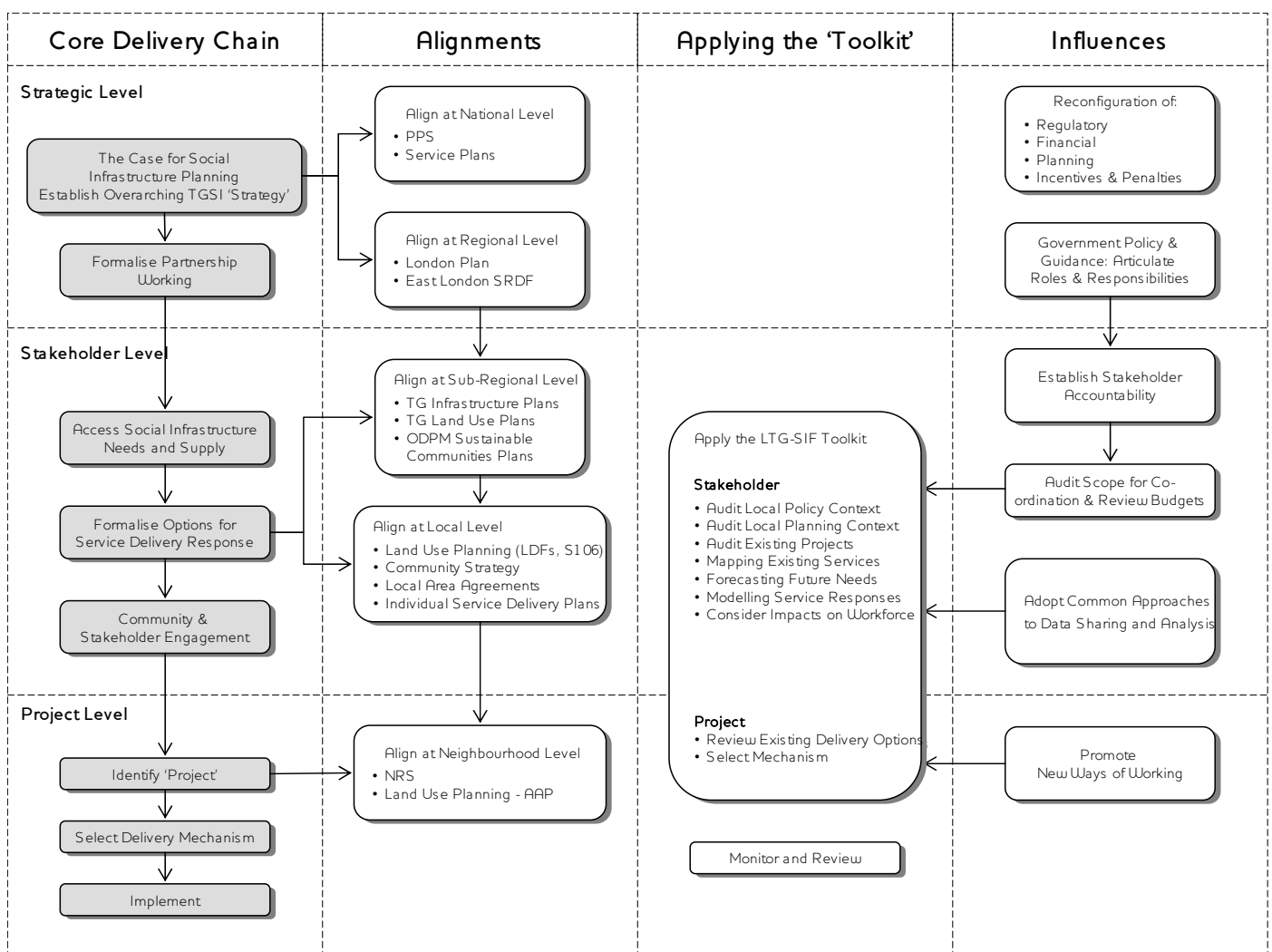
7.2.1. A variety of stakeholders will need to be involved in taking the Framework forward, and issues, challenges and barriers will need to be fully addressed at the strategic, stakeholder and project specific levels.

7.2.2. As discussed at the outset of this document, the overall Framework has been prepared to operate across three broad levels:

- **Strategy** – prioritising social infrastructure when evolving policy, establishing overall objectives, aligning these into planning and service sector strategies, and addressing barriers to delivery;
- **Stakeholder** – informing policy development and assisting in the planning process, implementing the framework methodology at a local level and ensuring fit with local strategies;
- **Project** – guiding the local project development and delivery process.

- 7.2.3. The research that has been undertaken as part of the 'Barriers & Hurdles' exercise has identified that each of these three levels have their own set of issues and implications, and stakeholders up and down an overall 'chain' will need to consider and apply the Framework. These barriers include issues related to finance, regulations and legal issues, cultural constraints, leadership, policy, building and community considerations.
- 7.2.4. Addressing these issues and barriers will involve a number of responses from the appropriate bodies, ensuring that social infrastructure is given appropriate priority in the evolution and implementation of policy, and that cross sectoral approaches are adopted to consider how stakeholders can work together to deliver the optimum solution.
- 7.2.5. The overall 'delivery chain' is illustrated at Figure 7.1 which runs through the various levels, and also establishes the policy alignments that will be required, the analysis tools which will need to be adopted and the influencing factors that will inform the delivery of the Framework. The Chain illustrates that this Toolkit forms only part of the overall process, and is particularly focussed at the Stakeholder and Project levels.

Figure 7.1: The Delivery Chain



7.3. **MOVING FORWARD**

7.3.1. Whilst this Toolkit (and the accompanying appendices) can assist in the social infrastructure planning process, the evolution of the Framework should be considered as a first stage to achieving a step-change in planning for and delivering social infrastructure into the future.

7.3.2. There will be a series of next steps that will need to be implemented to take things forward, including:

- Working with government to try to bring together various policy initiatives and agree a process for more effective alignment across the Thames Gateway.
- Working with individual stakeholders to apply and test the context of the LTG-SIF then develop consequent strategies, projects and funding arrangements.
- Working with a couple of existing community bodies to trial wider engagement in the social infrastructure delivery chain would provide the scope to test a more efficient social infrastructure delivery process.
- Taking forward the review of best practice and the potential evolution of 'exemplar concepts' that could be used as models for future service delivery. This should also include financial cost-benefit analysis to assess the relative financial and service delivery costs and benefits under alternative approaches to provide a benchmark of the financial implications. This would need to consider both capital and revenue costs.
- Documenting best practice, publishing and promoting this into the future.

7.3.3. The Framework starts the process and will assist stakeholders to move forward, but the physical outcomes of the Framework will need to come forward through application at the local level, the identification of projects and formulation of delivery vehicles to move forward into implementation.